

A Multi-Case Study of Four Nonprofit Leaders Who Serve “At Risk”
and Homeless Populations

and Their Underlying Formulas for Success

by

Martha Ostrom

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Graduate Supervisory Committee:

N. Joseph Cayer, Chair
Robert Cialdini
John Schlacter

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ABSTRACT

This multi-case study research, using qualitative and quantitative methods, examines, compares, and validates the traits, behaviors, and formulas for success utilized by four experienced, long-term, exemplary executives who lead nonprofit organizations (NPOs) that serve homeless and "at risk" populations. Service longevity is a measure of success in this study and each leader subject must have served a minimum of five years at their NPO to participate, though most have been leading their respective NPOs far longer. An NPO leader affects not only an organization but individual constituents and the entire community. Each leader subject is considered successful by numerous constituents and the community. Anyone is at risk for homelessness and its effects on the entire community are boundless.

Traits and formulas for success are measured using three surveys: Kouzes & Posner's 360 LPI and Most Admired Characteristics surveys and Cialdini's Influence IQ Test. Additional data sources are personal interviews, organizational 990s, annual reports, and other financial and programmatic data. The instruments for data analysis are a Likert 7 Point Importance Scale used for the program and organizational evaluations by NPO professional outside raters and the Strategic Plan. Analytic tools are the Pearson Product Moment Correlations, the organization's 990s, a 3 year annual report comparison, and participant observation.

This study measures the leaders against the ideal. One common theme among all the leaders is consistency, one of Cialdini's Six Principles of Influence;

however, the use of the other Principles was varied. Three of the four leader subjects identified three of the top four traits of an exemplary leader and each demonstrated use of Kouzes & Posner Practices. There appears to be some statistical relationship between the Cialdini Principles and the Kouzes and Posner Practices; however, due to the small sample size the results are interesting but not generalizable. Triangulation of the data affirms the original premise: the leaders are successful, each in a unique way. Overall, comparing the organizations to the ideal standards identified in the research objectives, all leaders possess verifiable measures of success from a variety of measures, both qualitative and quantitative.

DEDICATION

This research is dedicated to my God, who carries me and gives me strength, the love of and for #44, my amazing family and friends who lived through, supported me in, and lifted me up in a plethora of ways during my many years of scholarship quests. Thank you for your love and support. I also want to dedicate this tome to my research subjects for whom I have the greatest respect and admiration and all the NPO leaders and their constituents who work so hard to help others.

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Chapter 1

INTRODUCTION

This dissertation is an examination of experienced, long-term executive leaders of nonprofit organizations (NPOs) and the leader's underlying formulas for success. Leadership has been studied for decades and there are volumes of books and articles written about the topic. The authors who research and publish on leadership typically focus on one aspect of leadership for discovery because it is of interest to the author(s). This research adds to the literature by examining several aspects of successful NPO leadership. After many years of study about leadership within the discipline of Public Administration and Nonprofit Leadership and Management and experience in the field, both working for executive leaders and as an executive leader in for-profit, government, and nonprofit organizations, this researcher still has questions about what makes an exemplary leader. This study focuses on the executive leaders of four NPOs.

From observation, there are NPO leaders who are viewed as exemplary, but it is unclear why they are considered exemplary. How they achieve their status in spite of operating differently than for-profit leaders is of significant interest because people often want mentors and someone to emulate. Each of the four selected leaders for this study appears to respond to the environment and forced change in diverse manners, especially during the current economic plunge. Logic contends that there are traits these NPO leaders possess that others may not. Equally compelling, logic questions both the tangible and intangible methods by which these individuals maintain their organizations.

What are the traits and formulas they use to become exemplary leaders? How do they practice their trade as a result of those traits and formulas? These questions are at the heart of and support of the main research objectives.

The research objectives are: 1) Do leaders possess the top admired characteristics (traits) as identified by Kouzes & Posner (2001); 2) Do leaders utilize tools of influence as identified by Cialdini (2001); 3) Do leaders develop and implement a strategic plan (Schlacter 2010; Cayer, Baker, & Weschler, 2010); 4) Do leaders utilize the five practices of success as identified by Kouzes & Posner (2001); 5) Are the leaders examining the environment and building relationships both internally and externally, and 6) Are the leaders fulfilling the organization's mission even during challenging economic times? This study is an attempt to identify some of the formulas that these long-term NPO leaders use to continue as exemplary executives, especially during challenging economic times.

What is Success?

Organizational success is measured from different perspectives, but most notably by financial stability. A leader's success is tied to an organization's success and vice versa. Is this a true measure of success, not only for the organization, but also for the leader? Or, are there other measurements to determine how and why a leader is successful? Working within the NPO community has given this researcher an opportunity to observe a significant number of NPO leaders and how they behave externally. How the leaders

operate within their organizations and why they do what they do is not easily observable. If the results that are expected are not financially productive, critics are in abundance. Thereafter, the questioning begins about the leader's ability to successfully guide the organization. There is conflict when output does not produce expected outcomes even though they may have agreed upon goals and objectives because organizations expect their leaders to act rationally, doing the "right" thing. "Complete rationality requires perfect information, unlimited time, and slack resources" (Cayer & Weschler, 1988). Incomplete information can lead to financial instability, not success as measured in budgets.

Looking beyond budgets, a leader's actions are reflected in various other outcomes, such as numbers of clients served, numbers of medical/dental patients evaluated, numbers of meals provided, and more. But, those outcomes do not always reflect why the leader is successful. Measuring leadership success is difficult because there are many factors outside a leader's control that contribute to the success or failure of an organization. Although there are many contributory factors to success, certain traits have been identified as the main characteristics that may assist in the development of successful leaders. This research will identify traits that are important to the success of the leaders in this study (Kouzes & Posner, 2001).

Of interest to this researcher are also practices that lead to the development of programs and their outcomes and whether the programs and the outcomes are true measures of the organization's performance and mission fulfillment. These particular leaders were chosen as study subjects because they

are viewed as successful by the community, their own organizations, and as rated by professionals within the greater NPO community. An observation about successful leaders, as stated by two established authors on leadership, is as follows: “Leaders are deemed successful when they enable their organizations to grow in their ability to serve the community, whether that be by discovering new community needs to satisfy, by expanding the resource base, by entrepreneuring new approaches to service delivery, or by energizing or transforming the organization itself” (Bennis & Nanus, 1997, p. 20).

To establish a baseline measure of success, this study stipulates that each leader has served the NPO community for over 10 years and as an executive of his or her organization for at least five years because longevity of both the organization and its leadership indicates certain levels of success. High executive leader turnover rates have serious consequences on the organization’s mission according to Gilmore (1988, p. 4); therefore, leadership stability is one indicator of success. This study utilizes several other measurements to obtain a more comprehensive view of leader methods of success and tools that each leader may use. A three year historical financial picture taken from the organization’s tax form, the 990 is one success criterion. The annual report contains financial and programmatic information. Additionally, these experienced executives are surveyed, interviewed, and observed in order to obtain other insights that might indicate levels of success. There is a wide range of success measures and outcomes between the NPOs because each organization practices its service delivery differently.

Chapter Two is an overview of leadership literature focusing on leadership traits, resultant behaviors, and several formulas for success. The formulas examined include: tools of influence, strategic planning that encompasses financial planning and budgets, programs, staff, volunteers, donors, clients, and for-profit businesses.

While the methodological description is expanded in Chapter Three, multi-case study research was chosen, in part, because “field studies are strong in realism, significance, strength of variables, theory orientation and heuristic quality” (Kerlinger, 1986). Another strength of multi-case study research is the opportunity for the researcher to become a participant observer. Participant observation is crucial due to the multiple, difficult to measure intangibles in NPO leadership success. Important material is uncovered that adds strength and substance to a leadership multi-case study through observation and participation.

This multi-case study research involves four NPO leaders that serve homeless and “at risk” populations and utilizes a variety of methods, both quantitative and qualitative, to gather data. This research provides an opportunity to advance a leader’s knowledge about survival techniques during times of economic challenge when leaders are expected to do more with fewer resources.

The Research Protocol used for the personal interviews, conducted with each leader, is adopted from the Schlacter Strategic Planning Model (Appendix

A). Other methods of capturing leader data are: the Cialdini Six Principles of Influence IQ test; the Kouzes & Posner: The Leadership Challenge Workshop (TLCW) Pre-work that identifies the most admired traits of leaders from the lens of constituents; and the Kouzes & Posner Leadership Practices 360 Inventory (LPI); each program is evaluated and rated by long-time NPO professionals including financial data (990s), annual reports, and other pertinent data provided by the subjects. Each data source is utilized to examine and triangulate the procured data to further assist in the identification of the leader's underlying traits, behavioral practices, and formulas for success.

Chapter Four discusses and examines each subject's relationships within and outside the organization, as well as, pertinent data that was gathered to support the stated premise that these are successful leaders. It is important to understand why these leaders have longevity and have sustained their organizations during challenging economic times.

In Chapter Five, the concentration is on how findings, observations, and conclusions impact the NPO leaders, their organizations, and the community. Significant limitations of the study are addressed and proposals for future research are suggested.

Purpose of the Study

Why Study Nonprofits and Nonprofit Leaders?

Nonprofit leaders were chosen as subjects because they represent the community of organizations that exist to serve and improve people's lives. This classification of organization contributes significantly to the whole of society and

brings value to their communities beyond the clients they serve. NPOs provide opportunities for less fortunate individuals to receive benefits and opportunities for more fortunate individuals to assist their less fortunate neighbors. Rather than seek to increase the need for services, NPOs work to decrease need for services. The NPOs mission of working for the social or public “good” enhances their service population’s and the entire community’s feelings of self-worth. The NPO leaders are successful and contribute significantly to the organizations that they lead, providing guidance, mentoring and leadership to staff, board members, donors, volunteers, and clients.

For over three decades, this researcher has been involved with NPOs in various capacities, originally as a volunteer and ultimately as a leader of an organization serving the homeless and “at risk” populations. It was through the latter status as a leader and involvement in a nonprofit CEO group that this researcher was able to closely observe the other leaders and participate in discussions about each of our NPOs. The economy changed from strong to challenging during this time. As a student of people, this researcher was interested to see how each of the leaders handled the economic challenges, particularly the loss of funding. During our discussions, it became apparent that each leader possessed different traits from the others and utilized different approaches to the challenges peculiar to their respective organizations. Changes in funding and funding sources always affect organizations and can appear to drive a leader’s behavior and actions. Armed with pieces of information, my interest turned to research, asking questions, and finding answers about leadership

traits, characteristics, and styles to discover how they might affect the decision-making of the leaders. During personal interviews, each leader responded differently, especially when discussing moving the organization forward after having experienced the benefits of a strong economy and currently a weak economy. Their individual formulas for success are of interest to this researcher and can be an initial template for NPO scholars and other NPO leaders with a desire to exemplify the most successful leadership qualities.

Leadership Traits Selection

Identifying trait theories and what they mean is the essence of leadership research. Leadership traits have been investigated for several decades (Cyert, 1990). From the identification of transformational, transactional, servant, and combinations of the aforementioned traits, researchers have chronicled much data to support their claims (Bass, 1990; Burns, 1978; Greenleaf, 1970). Although their research is valid and comprehensive, for this discussion, Kouzes & Posner's *The Leadership Challenge* (2003) provided the most cogent means of trait and behavior study methods. Their surveys, "The Leadership Challenge Workshop" (TLCW) Pre-work Survey that identifies the most admired qualities (traits) of leaders and "The Leadership Practices Inventory 360" (LPI) that identifies practices of leaders are used as the ideal measures for identification of this study's leadership traits and leader's practices, respectively. The authors, Kouzes & Posner (2003) believe that leadership is not only for the charismatic, transactional, or for the servant leader, but rather the ordinary individual who can learn skills to become a leader. Each individual possesses different traits and abilities, but the

authors believe that “Liberate the leader in everyone, and extraordinary things happen” (Kouzes & Posner, 1997, p. xx). As Kouzes & Posner (1997, p. xxi) have also stated, “While *The Leadership Challenge* was written to strengthen your abilities and uplift your spirits, the principles and practices described in it are based solidly on research.” Having over 200,000 individuals, including leaders and their constituents, participate in their research by completing the TLCW and the LPI, Kouzes & Posner (2003) means that the research passes the tests for validity and reliability.

Leadership Traits and How They are Measured

Kouzes & Posner (2003) research results indicate in that more than 50% of the administrations of the TLCW Pre-work survey, there are four top traits that people look for in leaders: honest, forward-looking, inspiring, and competent. One method to determine if a leader possesses these traits is to ask the leaders to list the top four traits that they believe a leader should have. Another method is to examine the behaviors that LPI identifies for each individual and assess whether the specified traits have a relationship with his or her own behaviors. Further knowledge about each subject leader is obtained when “observers” or those individuals who have contact with the leader, complete the LPI 360. By measuring other’s opinions of their own leader, the leader’s perception of his or her leadership traits and behaviors are validated (or not) within degrees of perceptual accuracy. The research is enriched by learning about some of the specific traits held by leaders. The individual and his or her organization are provided with valuable feedback. For leaders and organizations to remain

successful, it is equally important to ascertain whether they are on the right track in fulfilling their missions (Sawhill & Williamson, 2001).

Leadership Behaviors and How They are Measured

An additional benefit for the leader and his or her organization is the knowledge of how these identified traits impact the leader's behaviors. Kouzes & Posner (2001) have identified five practices that are impacted by the traits of successful leaders: 1) model the way, 2) inspire a shared vision, 3) challenge the process, 4) enable others to act, and 5) encourage the heart. Exemplary leaders observe and act as a result of their traits and experiences, utilizing different strategies and methodologies to provide the organization with a comprehensive success strategy. The LPI, based upon the subject's responses, is able to determine how each leader perceives his or her behaviors and how this perception ties to the leader's constituents, who took the survey, and their perceptions. It is predicted that there will be a strong link between the leader and the five major practices that have been identified from Kouzes & Posner's (2003) research.

What impacts how the leaders adjust or respond to change situations, particularly in the study, to the change from a stable to an uncertain economy? When human resource departments recruit for executive positions, the information they gather about traits and past behaviors serves as a predictor of future leadership behaviors (Kouzes & Posner, 2003). With knowledge about his or her own traits and behaviors, a leader may choose to enhance his or her abilities and skills to plan for and to achieve different outcomes during this time of change. Through the use of identifiable information about an individual,

organizations have opportunities to select leaders whose traits and methods of operating coincide with the organization's culture. Although Cayer, Baker & Weschler (2010, p. 10) assert that "...skills and abilities can be acquired and honed or may be part of one's personality," it is important to identify certain traits at the outset of hiring an executive leader.

It is important for a leader to have tools and methods to use to increase successful outcomes and to ensure that their organization remains focused on mission fulfillment. These tools are encompassed in a process of "doing business" and termed "Best Practices." One of the most significant "Best Practice" tools that acts as a method keeping people focused is the Strategic Plan. In order to create a Strategic Plan, there must be a desire to remain focused on the organization's mission and there must be a process in place to develop the plan. People associated with the organization, especially the staff and Board, must come together, work together, and collaborate to achieve a final product (Bryson, 2004).

The executive who successfully leads a group in the strategic planning process must possess superb facilitation skills to move disparate individuals to consensus. As referenced in the previous paragraph, these facilitation skills or the ability to influence others may be innate or learned. According to Dr. Robert Cialdini (2001), a social psychologist and marketing strategist, there are six identifiable "Principles of Influence" that move people to decision-making and are extremely effective in moving people to agreement. When utilized, these

principles are powerful tools. In complex situations, like the strategic planning process, influence tools can facilitate agreement.

Strategic Planning

According to Bryson (1995), strategic planning is “a disciplined effort to produce fundamental decisions and actions that shape and guide what an organization is, what it does, and why it does it.” The process of strategic planning can bring about better communication between the organization’s decision-makers, facilitate collaboration, foster creative thinking, and promote greater implementation of the plan. The importance of establishing and following a strategic plan cannot be overstated. A successful leader has a plan or blueprint to guide mission fulfillment while keeping staff and board members focused.

The strategic planning process educates and focuses organization leaders and staff in deciding what matters and how to get there. Interests and values surface and differences of beliefs and opinions can be aired, clarified, and hopefully accommodated during the process. Individuals are more apt to “buy-in” to strategic plan implementation when they participate and have a say in their organization’s planning and direction process. Some leaders utilize the planning process to revitalize the staff and board, promoting strategic thinking and action, as well as improved decision-making and performance. Clarifying the mandates and mission of the organization is a critical component in attracting financial support as the organization moves forward (Bryson, 1995) because a leader must

be able to clearly, succinctly, and concisely articulate the organization's mission to internal and external constituents.

Effectively utilizing Cialdini's Principles of Influence applies to the organization's external constituents as well. Motivating people to support an organization is a continuous process and a leader must continually hone his or her skills to articulate the organization's mission. To be successful, it is critical that a leader be perceived as credible. For example, the principle of authority is significant when discussing a leader because his or her title connotes authority. The executive is in a position of leadership by virtue of hierarchical placement; therefore, he or she is usually perceived as an authority. Another form of authority may be how a person is physically clothed -- consider someone in a suit versus jeans. The first impression is that the suit is an indication of authority. A well-dressed, well-positioned, and well-spoken leader that delivers a message about the organization's mission with authority will be believed and have willing followers. Without followers, there are no leaders (Drucker, 1990).

Mission Fulfillment

Mission fulfillment is success for NPOs and leaders and every organization was started with this precept in mind. It is imperative for an organization to explore mission fulfillment opportunities. In addition to mission fulfillment, financial stability is a main criterion for organizational and leadership success. During times of economic crises, an organization and its leadership may be tempted to accept funding from a variety of sources that it would not normally accept. The stress of having to fulfill its obligations causes leaders and

participants to make decisions that may not be good for the organization, either in the long or short-term. The Board of Directors (BOD) must act as responsible fiduciary agents, especially during times of economic instability. Because money is offered in the form of federal, state, county, city, and/or foundation grants, leaders and BODs may decide to “fit” their programming into the grant requirements in order to obtain funds. This is referred to as “mission drift”, meaning something has been added to the organization’s programs that may not be part of its mission in order to receive funding (Sawhill & Williamson, 2001). Strategic planning helps thwart mission drift and helps stop an organization from consuming its precious resources in new areas. In the past, mission fulfillment was defined financially; however Sawhill and Williamson (2001), in their study of the Nature Conservancy established other methods to measure mission fulfillment.

Relationship Influencers

The study of influence agents, including three years as a participant observer, has been a long-term process for Dr. Robert Cialdini. The underlying premise of persuasion methodology study is determining why some individuals comply with requests that are seemingly contradictory to a typical action they may take. In an organization, leaders must influence their staff, board members, donors, volunteers, and clients to make decisions for the organization. Leading is challenging given varying backgrounds, education, values, traits, styles, and other characteristics. When a leader has tools or methods to enhance his or her chances to influence a decision that involves maintaining a relationship, he or she should

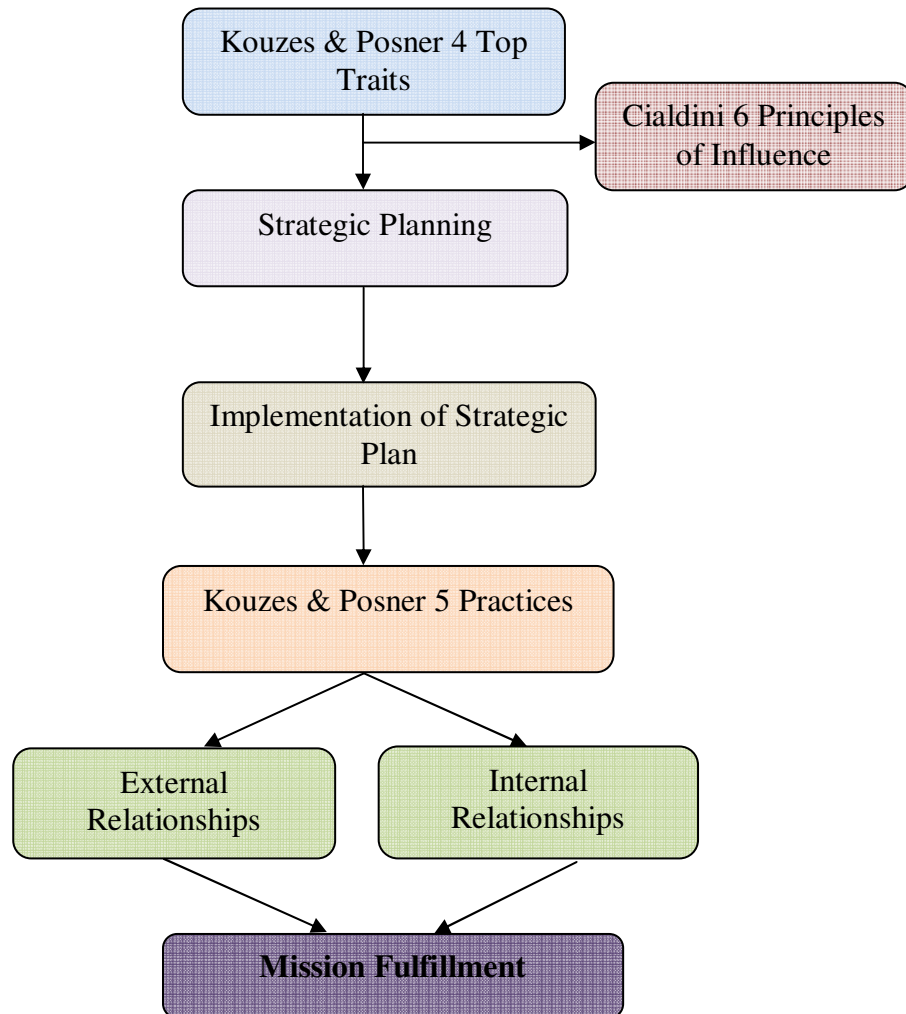
ethically utilize those tools. If an individual does not make use of such tools, then the likelihood of a decision in his or her favor is lessened (Cialdini, 2001).

Links and Purposes Summary

The NPO leaders in this study were chosen due to their long-term tenures of leadership in an NPO serving homeless and “at risk” populations. According to Kouzes & Posner (2001), successful leaders possess four top common traits: honest, forward looking, inspiring, and competent. There is a strong link between leader traits and actions that contribute to success because the possession of certain traits affects a leader’s behavior. Along with the four top traits of a successful leader, Kouzes & Posner (2003) have identified five practices that a successful leader utilizes to guide his or her organization: modeling the way, inspiring a shared vision, challenging the process, enabling others to act, and encouraging the heart. These characteristics and traits are complementary to one another. The premise in this study is that to practice the five behaviors successfully, leaders are guided by an established plan. A Strategic Plan outlines and defines what an organization will do to ensure the entire organization remains focused on its mission (Schlacter, 2010). Careful preplanning is necessary and a leader should engage in strategic thoughts prior to establishing a Strategic Plan. Prior to working with others, a leader must develop his or her strategies to influence internal and external constituents.

Cialdini (2001) has identified six such strategies or “Principles of Influence” that successful people use to bring others to agreement or compliance. By linking all of these together in a rigorous disciplined effort, leaders will more than likely become and remain successful. It is expected that successful leaders will exhibit the use of the following: 1) the four top leadership traits as identified by Kouzes & Posner (2003), 2) the use of Principles of Influence as identified by Cialdini (2001), 3) the use of practices as identified by Kouzes & Posner (2003), 4) a strategic plan as identified by Schlacter (2010), 5) relationship building with internal and external stakeholders, and 6) mission fulfillment even during challenging economic times. See Figure 1 for a diagram of the relationship of the various factors to one another.

Linkage Diagram



Assumptions and Limitations

1. Inherent in most qualitative research is that data collection is subject to interpretation by the biases of the researcher.
2. Due to the need to understand the issues, problems and significance of the study, this researcher may be prone to bias, which is often the norm in multi-case study research (Yin, 2003).
3. The researcher brings experience in this field to the study.
4. Another limitation is that some of the research was dependent upon the memory and good will of the participants. The possibility exists that participants tailor their responses to what they believe the researcher wants to hear. Additionally, participants may feel uncomfortable being completely candid. The fact that each of the participants knows the researcher may influence their responses. While it is hoped that the participants do not have other agendas that color their responses, the researcher is particularly sensitive to these potential issues throughout the study.
5. The selection of the interview participants is not based on a randomized sample. The participants fit the selection criteria, all lead NPOs that serve homeless and “at risk” populations, and access to participants is relevant. Case studies are studied in their own right and not as samples of the population (Robson, 2002).

6. For the purposes of this study, four top leadership characteristics were chosen as the “ideal” traits. Because of this selection, the study may miss other important success fulfilling attributes the leaders possess.

Leadership has been studied for decades and from a multitude of perspectives. Our world is consumed with seeking tools for success. We not only want the tools, but we want a leader to show us how to utilize those tools. Who better than a “good” leader to model the pathway to success? Leaders are presumed to be good leaders if they have ample followers and lead successful organizations. When an organization is unsuccessful, we ask the leader “why not?” The study of leadership is prolific because no one wants to be a failure. Our belief is that with enough education, leaders and aspiring leaders will be or become “good” leaders. The presumption is that with good leadership, organizations will be successful. To better understand what it takes to be successful, many educational disciplines, non-profit and for-profit organizations, government agencies, and individuals study leadership in an attempt to understand and establish blueprints for success. In this study, research is not confined to one discipline but rather a variety of disciplines. A broad-based literature review enhances the relevance of leadership literature to not only nonprofit leaders NPOs, but also to other organizations and their leaders.

Chapter 2

LITERATURE REVIEW AND DISCUSSION OF CONTEXT

This multi-case study focuses on the traits/characteristics and behaviors exhibited by successful, long-term Arizona NPO executive leaders who lead organizations that serve homeless and “at risk” populations. The literature review covers topics of relevance to the research objectives: (a) multi-case study research methodology, (b) historical beginnings of charitable institutions, (c) major leadership theories, (d) formulas for success, e.g., decision-making and relationship influencers, strategic planning including financial planning, and (e) program evaluation. Each of these topics is germane to a leader’s success because they lay the foundation for why and how individuals become exemplary leaders. The chapter concludes with general comments about the research and its applicability to the subjects.

NPO Executive Leadership Study Purpose

If you were to ask one hundred leaders to define leadership and the criteria for a successful leader, there would be no two definitions exactly alike. However, there would be common themes. The recurring themes that would underlie a leader’s successful tenure include: effecting change and providing hope, inspiration, and purpose while marshaling resources and influence. These central themes focus on moving the organization in the "right" direction, toward efficiency and effectiveness (Nanus & Dobbs, 1999).

However, the above descriptions do not describe the leader and why, how, and what the leader does to effect change and provide hope, inspiration, and purpose, marshaling resources and influence. Whether inborn or acquired, individuals must possess certain traits to become a successful leader. The possession of those traits leads to certain methods of decision-making that leads to success. How a leader practices his or her craft is dependent upon tools, methods, and formulas. Those behaviors, actions, or inactions often become visible only by the results they produce. From many years of acquired knowledge and experience, the leaders chosen for this study have produced results that have allowed them to successfully remain in their leadership positions.. This research works to identify a leader's traits and the formulas utilized to achieve end results.

Success for this study is defined as the leader: 1) holding his or her position with their respective NPOs for a minimum of five years and being in an NPO leadership position for at least 10 years, 2) the organization has maintained financial records indicating viability during his or her tenure, 3) possessing the top four leadership traits as identified by the Kouzes & Posner TLCW Pre-test, 4) exhibiting the five leadership behaviors as identified in the Kouzes & Posner Leadership Practices Inventory 360 (LPI), 5) utilizing a strategic plan to guide the organization using Dr. John Schlacter's Strategic Planning Model as a template, and 6) employing the six psychological "Principles of Influence" as identified by Dr. Robert Cialdini. The methods by which to study these propositions of success are in a Case Study Framework as defined by Yin (2003a).

Nonprofit Organization Historical Beginnings

A relevant literature review reveals a plethora of documentation regarding NPOs, their beginnings, and the community roles they play. To understand the nature of NPOs, it is important to share a brief history of their humble, charitable beginnings in the United States, because this history sets the tone for how NPOs think, are thought of in the community, and how they operate.

Pallotta (2008) describes the beginning of philanthropy through the lens of religion and the Calvinist Puritans, led by John Winthrop to America in 1630. Puritans believed that they were mandated to be benevolent and that if they kept their covenant with God, they would be rewarded with New World land. The belief in Predestination and the inability to know if one was among the chosen led the Puritans to extend charity to their fellow man as a way to ensure entry to heaven.

Another viewpoint of how American charity comes from Alexis de Tocqueville, a French philosopher who visited America in the 18th century and observed the large number of small groups. His observation was that in France and England the wealthy were in charge of any major undertaking, whereas in America, associations were the volunteers. Salamon (1998) concludes that because American society was in existence prior to the government, frontier settlers had to find a way to provide public services. They joined together with neighbors to facilitate building schools, barns, public facilities, and much more.

Although America has grown and situations and names have changed,

associations of people or NPOs continue to provide services, playing a crucial role in American life. This role that Salamon labels “value guardian” emphasizes the charitable values that individuals espouse, serving to promote the public good through the fostering of fundamental, good values. Today, de Tocqueville’s observation of associations of individuals working to support the public good is as valid as it was over 150 years ago. It appears that a combination of religion and public need are the foundation of NPOs.

Significance of the Problem

According to leaders studied in this multi-case study and others involved with NPOs, budget difficulties have accelerated and are exacerbated by current economics. Donations have diminished while the need for services has increased. A considerable number of Arizona NPOs are struggling to survive and have cut staff and services to maintain existence. Due to diminished staff, many NPO leaders may welcome and benefit from professional assistance in all facets of operations, particularly, financial and resource development. However, their own financial resources often cannot support the professional assistance they need—a conundrum (research subjects, 2010-2011).

Dwindling resources in all sectors, including government, foundation, and individual funding mean that NPO leaders are facing a myriad of financial challenges today. NPO leaders must have the capability to face and overcome challenges. Leadership characteristics become even more important to organizations when searching for resources because the competition for funding

in a poor economy is fierce. NPOs typically operate at the margins; therefore, the choice of leadership and the predictability of that leader's skills are relevant and critical for leading an organization successfully through changes (Kotter, 1996).

NPO Perceptions and Realities

Labeling charitable organizations that serve the homeless and “at risk” as a non-profit or not-for-profit organization conjures an image that to make or show a profit is somehow wrong. It has been a long-time misunderstanding that NPOs are not allowed to make a profit. Although he worked in the nonprofit sector for nine years, Whitehead (2000), former chairman of the Federal Reserve Bank of New York, fostered a perception that the nonprofit sector is not supposed to make a profit, which is not a true statement. NPOs can make a profit, but they cannot distribute the profit. Any surplus monies must be put back into funding operations that support the NPOs mission. NPOs qualify as public charities under the IRS Tax Code and that allows donors to take a tax credit for donating as an incentive to donate to NPOs. The general public and some NPO staff believe the population served deserves the best treatment possible, but that staff should not receive comparable treatment, especially in salaries. NPOs are known for operating from the heart and believe that they must use all of their resources to serve those less fortunate. People have a stereotypical belief that nonprofits are “warm” and for-profits are competent (Aaker et al., 2010; Fiske et al., 2007; Fiske, 2002; Judd et al., 2005).

NPO studies indicate leaders are promoted because they show a strong commitment to the social good provided by the organization. For-profit promotions are often because individuals have shown competence and managerial skill (Chemers, 2001). This research provides information about successful leaders that obviates perceptions of incompetence of an NPO leader who does not have a business background. As Cialdini (2001) points out, people transfer perceptions about an individual from information they know about a person to those they may not know. For example, people are more apt to buy from a for-profit versus a not-for-profit because their perception about nonprofits is that they are not as competent as for-profits. This attitude affects the financial bottom line of NPOs that have products for sale (Moret, 2004). However, when an NPO is endorsed by a reputable entity or there are competence cues that remind the buyer of money concepts, the buyer's opinion of the NPO changes. It is viewed as being more competent. It is possible to be perceived as both warm and competent which leads to admiration and a greater possibility that individuals will buy from an NPO (Judd et al., 2005).

Although Best Practices would indicate the necessity of strong financial management, there are a significant number of NPOs that do not utilize a business model of keeping sufficient reserves and establishing endowments for times of economic crisis (Austin, 1998). Even the community at large believes that NPOs should not make a profit or look as if they have made a profit because of the IRS designation and special tax status. Additionally, because the community financially supports the NPOs and Boards of Directors are nonpaid community

volunteers, the community believes that they must provide scrupulous oversight to ensure that the NPOs are operating at a very low administrative cost.

Beyond these early beginnings, multiple theories of organizational development and types of authority (leadership) abound in the literature. Stogdill (1974) characterized leadership as one of the most studied phenomena. A few of the more prominent leadership theories are addressed in this paper. Exploring prominent leadership theories assists in understanding the importance of studying leader's traits, behaviors, and formulas for success.

Methodology

A multi-case study is a preferable qualitative methodology when used to capture data in its real-life context, especially when boundaries are not clear between the context and the phenomenon being studied. Separation of the leader from the organization and its environment is impossible. A researcher must become involved in more intimate details to capture the essence and reality of a leader's role in the organization and its community. This type of research has some credibility issues because there is considerable judgment involved (Dexter, 1970). This multi-case study covers the scope of contemporary conditions, historical data, survey instruments, and personal interviews, rather than a commitment to one ideology (Platt, 1992a; Yin, 2003a). The goal of this study is to understand the meanings individuals give to their behaviors in a real-life setting, rather than trying to predict their behaviors (Braybrooke, 1965). By utilizing a variety of research methods, including personal interviews, this

research is viewed as an appropriate qualitative method (Miles & Huberman, 1994).

Multi-case study methodology has been misunderstood because of its origination in conducting life histories. The presumption is that case studies are always a description of the ethnographic methodology and of the participant-observer technique of data collection rather than a complete research methodology. This multi-case study utilizes multiple sources of evidence to converge in a “triangulating fashion” creating a comprehensive research design and strategy (Yin, 2003a, p. 14). Various research methods, beginning with participant observation are utilized to examine each leader in the context of his or her organizations.

Due to this researcher’s membership in a small NPO CEO group, this researcher was able to observe and listen to the leaders prior to their participation in this multi-case study. Some researchers fail to understand the value of participant observation because it is not objective. The reasoning is that it is not neutral, objective, scientific, and creating distance from the subjects (Yin, 2003a). However, objectivity is an unattainable ideal. Participation and observation are powerful tools of analysis providing the opportunity to hear discussion, offer and obtain facts and opinions, and observe behaviors.

John Wooden (2005, p. 5), the successful UCLA basketball coach, expressed leadership as follows: “Whatever coaching and leadership skills I possess were learned through listening, observation, study, and then trial and error

along the way”. By becoming a participant/observer, this researcher verified the need to study NPO leaders, their traits, methods of influence, and behaviors in order to add benefit to NPO leaders, their organizations, and to the body of literature pertaining to NPOs and NPO leaders.

There are multiple stereotypes that exist about NPOs and NPO leadership. This study endeavors to explore the often repeated dogmas that NPO leaders merely move up the organizational ranks and have few organizational leadership tools with which to effectively lead, but rather are selected to lead because of their affinity for the organization. Much has been written about the lack of and need for business acumen in NPO leaders because of this perception. However, according to Peter Drucker (2005, p. 9), “We live in an age of unprecedented opportunity. If you’ve got ambition and smarts, you can rise to the top of your chosen profession, regardless of where you started out.” This research plans to demonstrate that these leaders possess traits that allow them to change, push forward, and succeed especially during an economic crisis (Whitehead, 2000).

The Importance of Change to Success

During a recession change may be forced upon an organization. Cultural change is a necessity for organizations to survive in a difficult economy and change is not easy. Change takes considerable courage, effort, and time. Change is forced upon an organization if the organization has not planned for financial reserves. Organizational change can occur when leaders take hold of the situation and enable others to participate in the change (Kotter, 1998).

Thus, traits and styles of the leadership may predict successful organizational cultural change. If change is forced upon a leader by the environment, success may not be achievable. Therefore, “followers” are an integral part of the change and success equation (Kellerman, 2008). Working collaboratively, a team, comprised of all involved with the organization, moves their identified mission forward. The true learning organization builds the ability to learn and change positively into its strategic architecture. The leader’s role as a change agent is to foster a learning environment and to provide inspiration and strategic guidance enabling the organization to productively change (Schneider, Brief, & Guzzo, Spring, 1996; Nanus & Dobbs, 1999; Nahavandi, 2006; Kotter, 1998; Senge, 1999; Recardo, Molloy, & Pellegrino Winter, 1995/96; Bower, 1997). Cialdini (2001) asserts that methods of influence are a necessity to persuade others to change.

During the onset of a recession, it is more important than ever to ascertain if there are certain characteristics a leader possesses that enable the leader to embrace the challenges of change, guiding the organization to successful outcomes (Kotter, 1996; Nahavandi, 2006). A leader may discover how they perceive themselves and how others perceive them as adapting to change by assessing oneself and receiving feedback from others (Kouzes & Posner, 2003). These perceptions are important to examine and it is equally important to learn from the perceptions in order to make personal and organizational changes. To move from a strong economy to a weak one entails embracing change (Senge, 1999).

Major Leadership Theories

From charismatic, to transformational, to transactional, to servant leader and to research on a multitude of other speculated and identified traits, leaders are observed and studied as they display many characteristics and play many roles in leading organizations (Fiedler, 1967; Schein, 1996; Barnard, 1971; Aristotle; Max Weber, 1947; Zaleznik, 1998; Kotter, 1990; Austin, 1998; Kouzes & Posner, 1995; Kay, 1994; Handy, 1996; Herman & Heimovics, 1994; Carver, 1997; Bass, 1985; Gardner, 1990; Kouzes & Posner, 1993; Nanus & Dobbs, 1999; Nahavandi, 2006). When researching the possibilities of traits having an impact on leader's styles and behaviors for this dissertation study, Kouzes & Posner (2003), met with immediate favor. They had not only identified successful leadership behaviors, but also the traits that are suggestive of a leader's success.

A brief description of major leadership theories follows to provide a framework from which Kouzes & Posner developed their seminal works and practices and why their research was chosen as one of the substantive methods for this study.

Trait Theory. Trait theory describes an individual as possessing numerous inherent personality characteristics and qualities, such as charisma, a characteristic deal-type paradigm for the study of bureaucratic or public administration and formal organizations, although revised by other researchers with substantial qualifiers, remains standing as the dominant paradigm. Charismatic theory was introduced by Max Weber, a leadership theorist in the

early nineteenth century. Weber believed that leadership traits were inborn versus developing those characteristics from life experiences (Weber, 1947).

Charismatic traits are still touted as important characteristics of good leadership (Weber, 1947; Fiedler, 1967; Schein, 1996; Barnard, 1971; Aristotle; Zaleznik, 1998; Kotter, 1990; Austin, 1998; Kouzes & Posner, 1995; Kay, 1994; Handy, 1996; Herman & Heimovics, 1994; Carver, 1997; Bass, 1985; Burns, 1978). Because Kouzes & Posner (2003) believe in charismatic traits but have also shown through their research that traits can be learned, their surveys were the methods of choice for this study.

Transformational leadership is often interchanged with charismatic leadership (Weber, 1947; Burns, 1978; Bass 1985; Bennis & Nanus, 1985; Bennis, 1992; Schein, 1985; Selznick, 1985; Yukl, 1981). Although today, charismatic leadership is considered one of the elements in a transformational leadership model. One characteristic of charismatic leadership is the self-confidence the individual displays in his or her abilities. This style of leadership creates an intense bond between leaders and followers (Nahavandi, 2006).

Transactional Theory. Transactional theory posits that leadership involves a relationship between people of disparate power (hierarchical), and as situations occur, different functions and roles develop between the leader and followers. Resources and rewards are given for productivity, efficiency, and effectiveness and the focus is on short-term outcomes (Fiedler, 1967; Bass & Stogdill, 1990; Burns, 1978; Zaleznik, 1990).

Servant Leadership. Almost the opposite of a transactional leader is the servant leader. Robert K. Greenleaf (1977, 1996), influenced by an obscure novel, *Journey to the East* (Hess, 1973), wrote that in order to become effective leaders, it was necessary to become servant-like, putting other's needs ahead of their own.

Several major theorists laid the foundation for variations of trait theory. Kouzes & Posner (2003) moved forward from the premise that traits were innate and built upon the theories that traits can be learned if an individual is willing.

Formulas for Success

Influence. Leaders make decisions to act as cataloged by their behaviors. How and why they make decisions has been studied by psychologists, but few have progressed to define the nuances of influence. Social psychologist, Dr. Robert Cialdini (2003, p. x), became a participant observer in many settings for a period of three years, stating it was instructive in his education about how people comply. Observation gives a researcher an opportunity to see first-hand the nuances that the average person might not notice. Because in part, this study was based upon finding the tools, mechanisms, or formulas that leaders use to become successful, observing the nuances of their behaviors provided an additional vehicle for comparison to other measurable factors that are examined in this research. Cialdini's survey measures the use of tools of influence.

Cialdini identified six Principles of Persuasion (influence), that when used are powerful means of influence and strongly affect others' behaviors. Besides

self-interest, these six principles are a fundamental basis of influence that underlies successful leadership or the operationalizing of the role of a leader. Beyond the motivation of self-interest, which is always present in some measure, leaders who use these principles of persuasion, knowingly, have an advantage. They anticipate how others will react automatically to certain triggers; and most frequently, they are correct in their assumptions. Because these principles: reciprocity, commitment and consistency, social proof, liking, authority and scarcity ignite sequences of behavior, the person precipitating the persuasive action is in control. With the proper tools, a leader can persuade individuals or groups, or organizations utilizing his or her personal means of influence.

Educated initiators of an influence principle are aware that a response is triggered by some specific feature. These influence agents, by studying people's individual response patterns, can anticipate the results of using a trigger feature. Utilizing a particular feature activates an automatic response or fixed-action pattern. For example, by looking someone in the eye and smiling, more than likely that someone will return the smile (reciprocity). Politicians often use this principle wisely. It is an intelligent and strategically important decision to understand and relate influence behaviors to leadership style because we can examine not only history, but also the present behaviors of our leaders. It is odd that despite their current widespread use and looming future importance, most of us know very little about our automatic behavior patterns. Perhaps this is so precisely because of the mechanistic, unthinking manner in which they occur.

Whatever the reason, it is vital that we clearly recognize one of their properties: they make us terribly vulnerable to anyone who does know how they work” (Cialdini, 2001).

Although influence is used in many ways, such as by: position power, lobbying, finance, regulation, ownership, and many others, the underlying methods are powers of persuasion. People are persuaded to do something by either subtle or not-so-subtle and possibly very, systematic overt methods. Successful leaders understand this and use methods of influence to obtain what they desire. It is important for leaders to take every ethical opportunity to achieve stability in every business that is intent upon preparing for the future

This is the opportune time for the nonprofit or social sector to learn how to influence both the corporate and government sectors to become partners in different ways from the past. The very heart of our communities and our community social services is dying, because there is a lack of stable resources. Great leadership and ethical influence can help make a sustainable future for those in need of social services and for those who support them. Cialdini’s proven methods of influence focus on the individual level of analysis in concise illustrations. These principles are easily definable and as tools of influence are also implementable.

These ethical tools or “weapons” are often very subtle and trigger certain responses when appropriate behavioral tapes are activated. People want to solve problems and respond in a variety of ways based upon the triggers and tapes

presented to them. Human mental capacities and the complexities of the problems awaiting solutions are inextricably linked, according to Herbert Simon (1990), recipient of a Nobel Prize for cognitive decision process studies. He states that “The capacity of the human mind for formulating and solving complex problems is very small compared with the size of the problems...” His statement indicates that individuals need assistance of varying types to help solve problems. One form of assistance may be familiarity with and the use of Cialdini’s tools or principles of influence (Appendix B).

Reciprocity. The power of reciprocation is unquestionable. The rule for reciprocation is embedded so deeply in us that, we, as a society are taught to live by that rule at a very young age. According to a study by psychologist Dennis Regan (1971 cited in Cialdini, Influence), “the rule for reciprocity was so strong that it simply overwhelmed the influence of a factor—liking for the requester—that normally affects the decision to comply.” Having completed an initial unsolicited favor for a subject, the experimenter was granted a favor when he asked for something else. When we do something for someone else prior to a request, the chance that they will comply with our request is greatly increased. Certain personality styles are more apt to use reciprocity as a tool for gaining someone’s trust. A servant leader is more likely to do something without the expectation of a return and yet, this principle is so powerful, a return favor is most likely to happen. A charismatic or transformational leader may naturally assume that reciprocity would ensue.

Commitment and Consistency. Our desire to appear committed to what we have already done and to be consistent can lead us to behaviors that are not in our best interest. We allow ourselves the luxury of shortcuts once we have made a decision about something. These “click whirr” shortcuts provide an easy means to make decisions. Society values consistency as a virtue of stability and honesty. Therefore, a commitment has been made once a stand is taken and there is a natural tendency to support that stand. Imagine an authoritarian leader who does not tolerate conflicting goals and who is intolerant of change; there would be little flexibility of ideas.

Social Proof. When we observe others acting in a certain way or we hear others make a strong belief statement, we are more than likely going to act the same way and support the strong statement. Our human tendency is to follow the lead of others, even at the cost of disproving the social evidence. A board room is clearly a place to observe social proof. Someone who has strong leadership characteristics, like an autocrat, will take a stand and bring others along with this stand.

Liking. Scientific research demonstrates that individuals prefer to be liked. Individuals spend time getting to know and to like one another when conducting business. Small incremental steps identifying similarities produce liking. We are all susceptible to flattery and people prefer to say yes to people they like. There is a spirit of cooperation between and among people who like one another working toward a goal.

Authority. In authority and an authority are different types of power. Someone may hold an authoritative position but not be an authority on a particular subject. We defer to those in authority because we are taught to trust leadership. However, there are dangers to believing blindly. An individual's thoughts, statements, or action may be seen as credible even in instances when they are not credible because that individual is in a position of authority.

Scarcity. The subtle use of scarcity is an extremely effective approach. Humans want to possess something more when it appears to be scarce. Lost opportunities cannot be recouped and the threat of potential loss plays a significant role in decision making. Time is precious, so when it feels as if it is "running out," the use of the scarcity principle will usually motivate people to action. Decisions can be affected by something as simple as a person's leaving town, shortly, and there will not be a quorum for a vote. Therefore, a vote is quickly called. This could be utilized as a ploy to use the people in attendance rather than missing an opportunity to move ahead.

Strategic Planning

"Strategic planning is a process through which programs are selected and designed to execute the strategies to meet objectives consistent with the mission for whom the organization was created" (Bryce, 2000, p. 431). Strategic planning is considered a Best Practice and the cornerstone for organizational success (Bryce, 2000; Bryson, 1995; Andreasen & Kottler, 2008). Utilizing a strategic planning model will provide a template for the leader and the organization's

constituents to follow (Bennis, 1988; Cyert, 1990; Kouzes & Posner, 1995; Handy, 1996; Herman & Heimovics, 1991; Schein, 1996; Senge, 1996). It is the leader's challenge to facilitate and develop a vehicle for moving an organization forward and the strategic plan provides the route to take. In times of economic and financial challenge, NPO leaders must change and adapt to internal and external environments and learn to communicate, challenge the process, model desired behaviors, inspire, influence, and encourage others to act in order to develop a blueprint for change (Kouzes & Posner, 2003; Cialdini, 2001).

Strategic Planning involves assessing an organization from internal and external perspectives. The classic strategic planning tool is the Strengths, Weaknesses, Opportunities, and Threats (SWOT) Analysis. According to Andreassen & Kottler (2008, p. 74), there must be a "cold-blooded" review of an organization in order to plan effective strategies, and yet, trust and commitment are integral to the process (Sargeant & Woodliffe, 2005). The significant questions a leader must ask him or herself are: 1) What are structural and/or environmental external strengths and weaknesses? 2) What are internal opportunities and threats? Financial and programmatic plans are an important part of the Strategic Plan because they provide organizational focus. Mission fulfillment cannot happen if an organization ignores its established path to achieve its goals and objectives.

For this multi-case study, a Strategic Planning Model (Appendix A), developed by Dr. John L. Schlacter (1977-2010), is used as a framework to assess environments of the organizations being studied. The issue is not if planning

should be done, but how it should be done. Leaders who successfully navigate change must plan well, adapt to change, influence others to change, and implement their plans (Bryce, 2000). The identified leaders in this study may or may not utilize a strategic plan, and this research will compare and contrast each leader's perceived best practice approach to guiding their organization during times of economic challenge. The personal interviews, during which questions are asked about strategic planning, provide insight into how successful leaders respond to the needs of their organizations and its constituents.

Traits and Practices

Kouzes & Posner (2003) were chosen as the research standards for this study because of their 360 degree approach and decades of leadership traits and practices research. Their research is comprehensive and present-day while addressing both the traits and the practices of successful leaders. Their workshops and administration of the pre-work survey, Characteristics of An Admired Leader for The Leadership Challenges Workshops (TLCW) Leadership (Appendix C) and Leadership Practices Inventory (LPI) survey (Appendix D) have been tested for validity and reliability having been administered to over 200,000 individuals, many of whom are NPO leaders and their constituents (Appendix E).

Kouzes & Posner (2003) identify five categories of leadership practices or behaviors that emerged from leader's stories about a "personal-best" case scenario. Model the way, inspire a shared vision, challenge the process, enable

others to act, and encourage the heart are the five practices that were identified. However, the authors realized that a leader's portrayal is only a part of the picture because followers and other constituents play a role in the leader's practices. There is a fundamental connection between leaders and followers and it includes expectations. Because leadership is a reciprocal process and a dynamic relationship between members of the organization, studying the expectations of the leaders for themselves and the followers of the leaders is recommended to complete the whole picture. All of the behaviors associated with leadership provide evidence for the successful leadership traits identified by Kouzes & Posner (2003).

Of the top 20 identified characteristics considered important for leader's to have and the traits that are admired by others, only four have consistently received over 50% of the votes gathered from individuals surveyed all over the world. As the data clearly shows, the majority of the constituents must believe the leader is: honest, forward looking, inspiring, and competent to be willing to follow a leader. Written case studies from those who admired and had personal relationships with the leaders provided an indication of their relationships, program details, and depictions of their behaviors (Kouzes & Posner, 2003).

Through a series of quantitative studies and personal interviews of more than forty respected leaders, Kouzes and Posner (2003) were able to identify leadership actions that lead to people's assessments of a leader's credibility. These complementary perspectives of exemplary leadership and the traits of

admired leaders help to identify what people expect of leaders. The intangibles and the leadership traits may be invisible, but they are at work while leaders are performing and achieving mission fulfillment. Expectations are seldom stated, however, they underscore the entire relationship process (Kouzes & Posner, 2003). As the research progresses to the analysis stage, the themes of being honest, forward-looking, competent, and inspiring are woven into the behaviors and practices that are revealed in more detail.

NPO leaders are diverse, yet, all can achieve success. Certain traits that exemplary leaders possess have been identified by Kouzes & Posner (2003). People exhibit behaviors by which their credibility is judged. Through observation, these behaviors either support or negate the positive characteristics that admired leaders possess. Examining a leader's use of tools to support his or her success is a means to identify decision-making triggers and strategies. Traits, behaviors, and strategies, combined can offer leaders insights into how and why their traits, their behaviors, and their use of instruments guide them toward exemplary leadership and success.

Chapter 3

METHODOLOGY

This chapter discusses multi-case study research methodology and its importance to the social sciences, NPOs, and NPO leaders. In addition to NPO value, the research has implications for public administration scholars and practitioners because this field of the nonprofit sector is associated with public administration. The first section of this chapter discusses multi-case study methodology and why it was chosen as the preferred method to study NPO leaders in this dissertation. The second section addresses the areas of leader research and some of the tools they use to achieve success. The third section describes the research strategy, data collection, and analysis methods. The conclusion poses expected results and some study limitations.

Case Studies

“In general, case studies are the preferred strategy when “how” or “why” questions are being posed, when the investigator has little control over events, and when the focus is on a contemporary phenomenon within some real-life context” (Yin, 2003a, p.1). This type of explanatory study is used to contribute to knowledge in many areas, e.g. psychology, sociology, business, social work, public administration, and other social science areas (Yin, 2003a). The multi-case study is a preferred research method when examining current events in which behaviors cannot be manipulated or controlled (Blalock, 1961, Campbell & Stanley, 1966, and Cook & Campbell, 1979). Direct observation, participant observation, historical data, interviews, and surveys all provide sources of

evidence for this multi-case study. Multi-case study research is a form of inquiry that can be comprised of a mix of quantitative and qualitative research and which does not necessarily include ethnography or participant observation.

Utilizing a multi-case study methodology and adhering to the three principles of data collection, this research includes: multiple sites and multiple sources of evidence, a data base, and a chain of evidence. When the causal links in real-life situations are too complex for experimental or survey strategies, the multi-case study provides the means by which explanations can be made (Yin, 2003a). This multi-case study attempts to “expand and generalize theories” that are considered “analytic generalizations” rather than “statistical generalizations” that enumerate frequencies (Lipset, Trow, & Coleman, 1956, pp. 419-420). The cases are not “sampling units” but rather multiple experiments. Beyond data collection, the goal of research is to understand unspoken beliefs as well as the spoken and those are not always easy to capture (Fielding & Fielding, 1986; Miles & Huberman, 1994).

In social science methods, four tests have been used as criteria for testing the quality of empirical research design. The four tests are: (1) construct validity - correct operational measures for the studied concepts, (2) internal validity - causal relationships, (3) external validity - a generalizable domain, (4) and reliability - replicable (Yin, 2003a). This study is designed to measure at least 3 of the 4 tests through the use of multiple sources of evidence. Causation may not be an applicable result with the small sample size. According to Stoecker (1991), the well-done multi-case study is a comprehensive research strategy.

Qualitative research, of which case studies are a part, can provide valuable information for nonprofit practitioners and public administrators because it takes place at the heart of the activity. This method of gathering data provides learning experiences for both the scholar and the subject. Subject leaders are involved in the research and provide insight into their leadership style and the operations of the organization. Yin (2003a) states that there are five components to be considered in a multi-case study research design, but all components may not be applicable. The study questions must be identified; the propositions, if any, must be stated; a primary unit of analysis is selected; logic linking the data to the research questions or propositions; and, the methods of analysis are explained.

The logic of using multiple cases in the design is so that similar results may be predicted (a literal replication) (Yin, 2003a, p. 47). The framework for the design centers around multiple study vehicles focusing on leaders and whether the results of these vehicles are predictive of success. The stipulation that they are already successful will be measured against the other described variables in a replicable fashion. Each of the vehicles by which the data were collected could be utilized, again, with the same organizations or with other organizations serving the same populations. Success is measured within each organization more than against the other organizations. This researcher posits that there is no absolute singular method for achieving success, but the utilization of certain tools may more accurately predict success.

Leadership Areas of Research

This examination proposes that successful leaders who have a reputation for leading long-term, sustainable organizations, utilize: (1) a strategic planning model (Bryson, 1995, Bryce, 2000, Andreasen & Kotler, 2003, Smith, Bucklin & Associates, Inc., 2000, Cravens & Percy, 2006, Christensen, Laegreid, & Wise, 2002); (2) utilize “weapons of influence” as strategies and tactics of the strategic planning model (Cialdini, 2001); and (3) the leaders exhibit four of the identified primary leadership traits, that are identified by other leaders as a necessary ingredient for success, i.e., being honest, forward looking, inspiring, and competent (Kouzes & Posner, 1993, p. 12, Nanus & Dobbs, 1999). Although there are many other significant traits and characteristics that leaders possess (Fiedler, 1967, Schein, 1996, Barnard, 1997, Aristotle, Max Weber, 1947, Shafritz, 1988, Zaleznik, 1998, Kotter, 1990, Austin, 1998, Kouzes & Posner, 1995, Kay, 1994, Handy, 1994, Herman & Heimovics, 1994, Carver, 1997, Bass, 1985), the prior mentioned four traits consistently appear at the top of the list from multiple studies that included over 200,000 participants (Gardner, 1990, Kouzes & Posner, 1993, Nanus & Dobbs, 1999, Nahavandi, 2006).

The significance of this study is related to the community value of NPO leaders, particularly, those serving homeless and “at risk” populations. This dissertation is not about homelessness, but rather it focuses on the leadership traits (characteristics) and behaviors (practices) of four experienced, long-term, formal NPO leaders that work to ameliorate homelessness. These leaders were selected

because of their prestige in the community, longevity of NPO service, and length of time as an organization's executive leader. A stipulated assumption is that longevity of service is a major criterion for the leader and organization successes. The leaders' performance criteria are measured over time and against the ideal practice criteria by which leaders and organizations are deemed to be successful. Each leader in this study has been with his or her current organization for a minimum of five years and has served within the nonprofit community, in various leadership capacities, for a minimum of 10 years.

To determine the "whys" (why they are considered successful) and "hows" (how they accomplished their success) of their successful leadership, it is important to explore whether the leaders have particular traits that lead to types of behaviors and their use of specific tools, such as: strategic plans, financial plans, and psychological methods of influence, to assist them to achieve success. Although, it is important to evaluate their relationships with staff, board members, volunteers, the community, and all the individuals that are involved making an organization successful, this study only makes mention of their importance to overall organization health. The leader's performances are analyzed using data gathered from multiple sources including: personal interviews that focus on strategic and financial planning, historical financial information garnered from 990s, annual reports, programs and activities that lead to mission fulfillment, as assessed by expert raters, satisfaction of leader performance as measured by the Kouzes & Posner LPI (2003) and tools of influence as measured by the Cialdini Influence IQ Test (2009).

Leader attributes are measured against ideal criteria identified in the Kouzes & Posner TLCW test and the LPI, distributed world-wide to over 200,000 individuals. The LPI was completed by the participant leaders and certain leader-designated employees, clients, board members, volunteers, and donors.

It is assumed, in this study, that the participant leaders utilize “Best Practices” due to the longevity of the NPOs existence. Best practices are measured in terms of: (1) sustainability of the organization; (2) contribution to the public good; (3) financial stability of the organization; (4) management, employee, board member, and donor stability within the organization; and (5) use of a strategic planning model. This multi-case study will utilize a Strategic Planning Model (Appendix A) as a framework to assess how these leaders, in their roles as influence agents, manage their NPOs and plan for organizational success.

Research Strategy, Data Collection, and Analysis Methods

Working in the field of NPOs for several decades, provided this researcher with ample opportunities to observe and interact with leaders. When making a decision on how to pursue a research study that would tell a story, Robert K Yin (2003) stood out as the expert in field work. Reading how Yin (2003a, 2003b) and others adamantly advocate this method, based upon the ability to use multiple sources of evidence, creating a database filled with richness of data, and creating a chain of historical evidence, persuaded this researcher to engage in this method of research design. To capture what is happening today and moving into the

future in a real-life context, a qualitative approach emerged as the most comprehensive way to study leaders.

To effectively study how and why individuals become successful leaders, it makes logical sense to start at the beginning and ask about activities that transpire regularly that influence success. Of interest is what traits a leader may possess that makes them successful and if other leaders possess some or all of those same traits. Multiple theories from varied disciplines provide considerable data, thought-provoking questions, and inconclusive answers. However, this researcher's interest in uncovering traits that contribute to leadership success led to the discovery of, Kouzes and Posner (2003), who survey leaders to study traits and behaviors.

Kouzes & Posner Survey. Kouzes & Posner (2003) developed a survey called the 360 LPI that asks leaders what they believe are traits successful leaders should possess. The conclusions from this survey resulted in evidence that there are four top traits identified by over 50% of successful leaders. Each leader completed the 360 LPI and identified several observers (staff, BOD, volunteers, donors, clients, etc.) to take the survey. This 360 approach provided observers the opportunity to assess their leaders. This, in turn, gave leaders the opportunity to learn how observers measured their leadership skills.

Respondents are provided an individual and a combined score in their behavioral survey. The individual score provide leader's self-measure and the combined score includes observer's measures. Measuring the delta between the scores provides insight into how one views oneself as a leader and how

constituents view the leader. Leaders were asked to choose their COO or CFO, at least one high level staff member, and the BOD Chair as observers to complete the 360 LPI. Other observers were chosen at their discretion, but leaders were encouraged to choose other board members, donors, volunteers, and clients. Each leader chose different numbers of observers and not all of the observers completed their surveys, which made comparisons between organizations difficult.

The 360 LPI is analyzed online as the leaders and observers complete the survey. The second survey, Characteristics of An Admired Leader, was administered by this researcher. Leader subjects were instructed to choose four traits that they, in the role of a constituent, would most like to see in a leader. The method of analysis is a comparison of their four selections against the top four traits identified by Kouzes & Posner (2003) in their research, which has been tested for both validity and reliability. The LPI 360 contributes to the research questions by identifying the practices of the leaders that contribute to the organization's success and mission fulfillment. The Characteristic of An Admired Leader Survey provides insight into the leaders, themselves, and how they want to be perceived as a leader.

Cialdini Influence IQ Test. Individuals, who take classes, attend seminars, and conduct research are learning people. Learning people tend to respect new ideas and are more willing to implement new ideas they have learned (Kotter, 1996). In his research, Cialdini (2002) identifies methods of influence that people can use, hopefully ethically, to motivate others to make decisions.

Influence is a dynamic process and can be a bidirectional (Pristine, et al. 2011).

Learners and leaders who readily and ethically apply these principles are typically successful. Taking the survey is an opportunity to learn (Appendix B).

Leader subjects, in this multi-case study, completed the Cialdini Influence IQ Test (1984, 2001, 2009). This progressive online test, based on social science research on influence, measures how well the subjects ethically apply influence principles and gives them a score by which to judge their use of the Six Principles of Influence. The test compares the subject's performance to other subjects who have completed the test. The Cialdini Principles of Influence Graphs and Chart depicts how well the subjects know and most frequently use the Principles (Appendix B).

Additionally, the report provides suggestions regarding the less frequently used Principles. Leader subjects received immediate feedback on the Principles, guiding them to analyze their own knowledge and use. The feedback provides leaders the opportunity to understand which Principles they use most frequently and which ones they could spend more time perfecting to learn more about how to influence others, ethically. This method was chosen because of its validity, reliability, and ability to provide immediate data. There are no apparent limitations to this methodology.

Strategic Planning

“Strategic planning requires administrators to translate organizational mission into measurable goals and performance objectives” (Cayer, Baker, & Weschler, 2010, p. 148). Planning requires setting long-term goals and objectives

that lead to mission fulfillment and the strategies with which to carry out the objectives. A financial plan is an important strategic plan element. Financial planning includes budget forecasting, expense control, resource allocation, and resource development. Every organization should evaluate their programs to ensure that they are fulfilling the mission (Cayer, Baker, & Weschler, 2010). As part of the strategic planning process, a SWOT analysis is a method by which the leader and management team can assess internal and external environments.

Leader subject data were collected through a personal interview utilizing a research protocol based on questions taken from the Schlacter Strategic Planning Model Adaptation (2011) (Appendix A). Each personal interview lasted approximately an hour and a half. Although the goal was to discuss strategic planning and development/fundraising, other topics surfaced that made the interview more valuable. Information collected in the personal interviews provided compelling information about the how the leader thinks and uses other tools to drive the organization. The chosen method of analysis is a 1-7 Likert Scale rating the importance of strategic planning and its use (Appendix F). A limitation to this type of rating is the subjectivity; therefore, a highest point score of (7) for each of the seven questions was established prior to the interview.

Historical Financial Data: 990s, Annual Reports, and 2005 and 2010 Data

NPO financial records are posted online at Charity Navigator and Guide Star, organizations that monitor and track NPOs. Monitoring organizations only post 990s for the last 3 years and NPOs operate on different fiscal year, which means not all data years for the chosen NPOs are the same. Additional financial

information was extracted from the chosen NPOs annual reports and leader subjects were asked to provide information for 2005 and 2010. The year 2005 was selected because that was the stipulated amount of time, in this multi-case study that each leader had to have been leading the chosen NPO. Data were analyzed by comparing expenses and revenue in several categories. The chosen NPO's accounting methods were not always comparable because they categorize and catalog programs, expenses, and revenues in different ways. Some of the NPOs operate revenue generating businesses and others receive a considerable amount of in-kind goods and services. However, the interpretations were bottom-line profit and losses and also utilized ratings generated by professional raters.

Program Evaluation

To mitigate researcher bias, two long-term professionals with over 30 years of NPO experience agreed to rank the chosen NPOs programs. These professionals are experienced in fundraising and assessing organizations to administer funding. Both hold PhDs and are respected members of the community (Appendix K).

The programs were grouped into categories that aligned with general categories used by NPOs that serve the homeless and "at risk" populations. Each program category was evaluated using a 1-7, very unimportant to very important, Likert Scale. The evaluation purpose was to determine each NPO's strength in meeting its Strategic Plan objectives and strategies and to determine if programs were instrumental in mission fulfillment. Each rater included comments about the leaders and their NPO. These comments are discussed in Chapter Four.

Correlations

Multiple Pearson Product-Moment Correlations were run to provide additional data analysis regarding possible linear relationships of variables. This type of data analysis may not yield results that are significantly meaningful due to the small sample size of only four NPOs. However, when utilizing standardized tests the possibility of a linear relationship exists. Multi-case study research is sometimes open to criticism due to the potential for researcher bias, use of smaller samples, and lack of quantitative data (Appendix H).

Chapter 4

ANALYSIS

The research objectives are: 1) Do leaders possess the top admired characteristics (traits) as identified by Kouzes & Posner (2003); 2) Do leaders utilize tools of influence as identified by Cialdini (2001); 3) Do leaders develop and implement a strategic plan (Schlacter, 2010); 4) Do leaders utilize the five practices of success as identified by Kouzes & Posner (2003); 5) Are the leaders examining the environment and building relationships both internally and externally, and 6) Are the leaders fulfilling the organization's mission even during challenging economic times? This study is an attempt to identify formulas that these long-term NPO leaders use to continue as exemplary executives, especially during challenging economic years.

Scoring Methods for Data-Recap

In a multi-case study that captures both qualitative and quantitative data, it is essential to identify the scoring methods used to measure data to ensure the data are meaningful and captures what they are supposed to measure. In a qualitative study, subjective views are acceptable when supported with data, whether from reports, surveys, interviews, or observation. For this study, data are compiled from a variety of sources and used as a basis for analysis of the organization (Yin, 2003a). Prior to a discussion about each organization, a report is inserted into the document that provides information from annual reports, 990s, and Guide Star. This report is examined subjectively with the inclusion of other data for

comparison including outside raters' reports on mission fulfillment, personal interview data and the information it provided with regard to focus on the NPOs strategic plan, and organizational characteristics provided by leader subjects for 2005 and 2010.

The Cialdini Influence IQ Test (2009) is a valid and reliable online instrument that measures the use of tools of influence. Influence tools are methods by which people make decisions about others and how to respond. Cialdini's Influence IQ Test (2009) results, their relationship to the Six Principles, and comparisons between leader subject's scores are examined. Each leader subject completed the online Influence IQ Test. Upon completion, results were provided in a report. The report that is generated upon survey completion is designed to provide feedback to the individuals about their use of the tools and how they rank in comparison to others who have taken the survey (Cialdini, 2010).

An additional comparison analysis with the Cialdini Six Principles was running a simple correlation against all of the other dependent variables that were measured. Although the sample size precludes generalizing the relationships, The Pearson Product Moment Correlations, 1-tailed test, show some interesting relationships.

When examining each NPO leader's traits and practices, finding valid and reliable instruments to capture that data is essential. Kouzes & Posner's 360 LPI and the Most Admired Characteristics of a leader (Appendix A) show the traits and behaviors from the viewpoints of the subject leaders and their chosen

constituents The Kouzes & Posner (2003) surveys, TLCW and 360 LPI are validated instruments that capture the data for which for which this research is looking. Individual leaders and their constituent observers are able to assess traits and behaviors that successful leaders might possess. Completed surveys are analyzed to provide individual leader rankings and combined rankings of the leader and observers. TLCW is compared against those who have taken the survey around the world and then against this particular leadership cohort. Strategic Plan design and utilization are necessary steps to formulate where an organization is, where it wants to go, and how it is going to get there (Schlacter, 2010). An organization is more likely to fail without a strategic plan. After a strategic plan is in place, it is necessary for an NPO to implement and carry out the plan (Appendix A). During personal interviews, each subject leader was asked 7 questions about their strategic plan, the planning process, and the current implementation status of their plan. All 7 questions were scored utilizing an ordinal 1-7 Likert, least important to most important (Appendix F).

Strategic plans include financial goal positions, resource allocation, and future projections. Each NPOs 990 was analyzed and ranked according to the most liquid assets and stable revenue sources, i.e., which organization has the highest expense to revenue ratio, has other capital resources, reserves, and endowments. Annual reports, providing additional programmatic information, were also analyzed. Program information was categorized and rated by professional raters as to the strength and importance of the programs and if those programs led to mission fulfillment. Each NPO was ranked in order of relative

prosperity by the raters, with caveats, however. Each rater, independently, stated that each NPO is important to the community and each filled a niche in assisting the homeless and “at risk” populations. Rater comments are included in the discussions about the individual organizations (Appendix I).

A comprehensive analysis of each NPO is the first item for discussion using information compiled from annual reports. The mission statement appears at the top of the compiled report because everything in the report is tied to mission fulfillment. Financial information is provided from three years of 990s and from each leader’s submission of 2005 and 2010 data.

Each organization has developed a mission statement and their programs are based upon strategic plan objectives and strategies as they relate to mission fulfillment. Below is a summary of the first organization, discussion follows.

ORGANIZATION #1 (271)

Mission Statement: Give every girl whose life we touch safety, hope, and opportunity.

Programs:

- Residential Group Home – Residential treatment, crisis intervention, and emergency shelter service for more than 200 girls annually.
- On-Site Medical Services – Professional medical, health and wellness services for girls in residence; including an adolescent health center provided by St. Joseph’s Hospital and full-time nursing staff.
- Transitional Living – Programs for girls aging out of the foster care system and are in need of transitional living support and skills training.
- Independent Living & Life Skills – Home-based training and support prepares girls and boys to live healthy, successful, independent lives.
- Youth Academy – Individualized instruction focusing on the whole student academically, socially and emotionally. The charter school (grades 7-12) serves boys and girls in the community and agency clients.

- Girls Ranch – A supporting foundation and relationship used to add a new program for pregnant and/or parenting girls in need of independent living, parenting and/or childcare skills training.
- LIFE – Living Independently for Everyone (LIFE) is provided in collaboration with Casey Family Programs to deliver enhanced independent living skills services.
- WINGS – Women Involved in Nurturing Girls’ Self-Esteem (WINGS) is a highly structured mentoring program pairing girls with women from the local community.

2009 (Most Current Available) Annual Report Information

Multidimensional Measure of Success: Consistently positive outcomes of those whose lives we touch and improve; personal commitment and vision of our Board of Directors, leadership team, and staff; the continued support of our donors who know their expectations will be met and surpassed.

- Residential Group Home:
 - 98% reported feeling safe.
 - Family reunification or foster placement was achieved for 84% of successfully discharged girls.
 - 96% of girls reported being better able to problem solve after program involvement.
- Community Based Services:
 - Independent Living program provided 18,503 hours of individualized instruction to 503 youth.
 - Life Skills provided 8,748 hours of individualized training to 259 youth.
- Transitional Living:
 - Provided services to 28 girls and 20 children. Average length of stay increased from 3 months to 8 months, creating greater stability.
 - 76% of Transitional Living clients attended school.
 - 75% of Transitional Living girls were successfully discharged the highest rate thus far.
- Youth Academy:
 - Implemented new program Socially and Emotionally Enhancing the Development of our Students (SEEDS) to empower students, have students gain a sense of purpose, and learn necessary decision making skills.
 - AIMS scores for 10th grade students increased 30% of the year before.
 - Parent evaluation of education quality was 92% favorable, and increase of 27% over 2008.

- WINGS:
 - 71 mentors recruited, 48 successful matches made.
 - 93% of mentors surveyed felt supported in their mentor/mentee relationships.
 - 98% of mentors surveyed reported their mentee enrolled in an educational program.

Other Accomplishments

- Grew staff and volunteer leadership and positioned agency for growth during downturn economically.
- Board and staff strengthened financial position while expanding services to more at-risk girls.
- Developed an “advancement initiative” to guide growth and operations during next 3 to 5 years.
- Paid internship job training program launched for girls 17-21 in the transitional living program.
- Basic needs grant provided to teens in the Transitional Living Program through a collaboration of funders – provided girls aging out of foster care with housing, utility, and food assistance. 87 youth saved from being homeless upon release from foster care.
- Collaborated with the National Foundation and The Project for Human Rights on Girls Initiative Program to help girls who are or might be involved in the juvenile justice system.

Number of Children & Families Served in 2008-2009

Program	Number Served
Youth Academy	502
Girls Ranch (Clients with Children)	20
Healthy Families (Program ended February 2009)	85
Independent Living Program	516
Life Skills	259
WINGS Mentor Program	129
Residential Group Home	203
Transitional Living Homes (Clients with Children)	48
TOTAL	1,762

Financial Information

Revenue	2007	2008	2009
State Aid to Charter School	\$1,164,268	\$1,370,314	\$0
Program Revenue	4,135,126	5,287,536	6,248,990
Contributions/Fundraising	2,431,148	2,053,112	2,025,983
Investments	196,284	0	0
Gain on Disposal of Assets	309,530	0	0
Other	203,945	(66,650)	89,077
TOTAL REVENUE	\$8,440,301	\$8,644,312	\$8,364,050
Expenses			
Program Expenses	\$4,399,475	\$5,024,321	\$6,040,133
Charter School	1,504,242	1,773,699	0
Resale Store	422,196	0	330,725
Management & General	940,050	1,055,196	955,720
Fundraising	758,173	860,899	497,945
TOTAL EXPENSES	\$8,024,136	\$8,714,105	\$7,824,523

Note for 2009: Changes in Net Assets show a loss of \$699,054. This is due to market valuations in our investment reserves and split-interest trusts comprising unrealized investment losses of \$757,105. This organization remains financially strong and viable by controlling costs and managing our accounts receivable. Copies of audited financial statements are available for review.

Compensation Information from 990

2008 Return of Organization Exempt from Income Tax (990)	
Executive Staff Salaries:	
Executive Director	\$177,163
Chief Advancement Officer	112,827
Chief Financial Officer	89,848
Chief Operations Officer	90,117
Chief People Officer	80,181
Total salaries, other compensation, employee benefits	\$5,794,167
2007 Return of Organization Exempt from Income Tax (990)	
Executive Staff Salaries:	
Executive Director	\$192,065
Associate Executive Officer	98,273
Chief Financial Officer	81,234
Chief Operations Officer	68,868

Chief People Officer	77,274
IT Service Manager	66,500
Medical Program Manager	62,392
Donor Relations Officer	61,452
Assistant Principal	60,354
Accounting Director	58,434
Total salaries, other compensation, employee benefits	\$5,401,208
2006 Return of Organization Exempt from Income Tax (990)	
Executive Staff Salaries:	
Executive Director	\$125,375
Associate Executive Officer	78,077
Chief Financial Officer	77,300
Chief Operations Officer	56,746
Chief People Officer	41,300
School Principal	67,235
IT Manager	63,000
Medical Program Manager	62,127
Grant Writer	53,829
Program Manager	52,026
Total salaries, other compensation, employee benefits	\$4,825,252

Report Discussion

This NPO has a strong executive management team. Although some of its members are new, they appear to work closely and effectively together. However, as in any organization with staff and seasoned or new BODs members, there are always complications. Board members often come from the business community and must be trained to serve on an NPO board, learning the separation of the staff's duties of administration and the BOD's duties of policy making (Carver, 1997). This leader subject has been leading this NPO for more than 10 years and is responsible for its respected community stature. BOD members are

typically chosen by the NPO leader and this particular leader has established a close relationship with the BOD Chair, an essential for an organization to function well (Scott, 2000).

This NPO's financial position appears strong from a cross-reference with the three years of 990s. Almost 80% of revenue is generated from program services (fees for services), whereas about 20% is generated from fundraising efforts. Their debt consists of accounts payable and very little secured debt and the organization is not burdened by servicing large mortgage notes. That being said, cash reserves are minimal and a funding shortfall could cause a financial crisis. However, a crisis would probably be short term in nature given that 80% of their income is from program services. Permanently restricted funds are minimal and will not provide them with protection in down years and there is not much income to fund operations. Although this NPO did not have any permanently restricted endowments in 2007 and grew the endowments 26% from 2008 to 2009, the dollar amounts (\$85,000) are small in comparison to their operational needs, but it suggests a focus on establishing an endowment fund for the future. In 2009, 81% of revenue was generated from program services and government grants, but when compared to program expenses (over 91%), they are relying on contributions from donors to fund programs. This suggests that this NPOs programs are not profitable and they must fundraise to ensure programs operate. This trend was similar in 2008; however, when looking at 2007, the revenue and expenses were much more closely aligned (79% of revenue coming from program services and government grants compared to 81% in expenses). It

appears that this leader should have examined programs after 2007 to prepare for a lack of funding in 2008.

During the personal interview, this leader subject disclosed that although their financial statements show some losses, they have rebounded. The losses are reflected in the startup costs for a new charter school for the disadvantaged. The school's state test scores were low due to the students being exceptionally behind in years of education and behind other students in the same age group. Due to low test scores, the organization was in line to potentially lose its funding for the charter school. To mediate this potential loss, this leader subject and the management team chose to institute a dramatic change in the school structure. The charter school is to become a single gender school with students from throughout the community, rather than only the NPO's clients. The hope is that youth who would not otherwise qualify at their grade level will be more comfortable in this setting. The organization's goal is to recruit 100 students per year. Currently, there are 25 students committed for the next year. The leader's candid opinion, one that has caused considerable angst among the organization's constituency, is that this project might fail. This leader is determined to work as hard as possible to make the school succeed, but is realistic in expectations. Having just received notification of a \$1,000,000,000 trust, together with the NPOs current reserves, the leader is not fearful of failing financially. The organization has grown substantially over time with sufficient cash to operate for a minimum of one year and potentially two years even if no other revenue were raised.

Interview and Strategic Plan

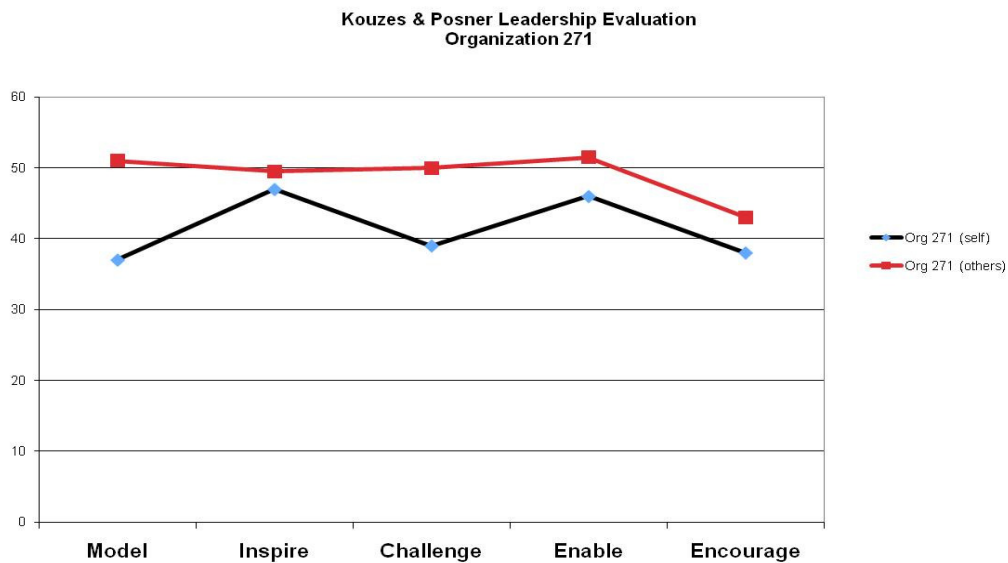
This NPO operates using a current Strategic Plan that was updated and developed in a cooperative effort between the staff and BOD. According to the leader, the BOD listens carefully to recommendations from the staff most of the time. The process of strategic planning is valuable to this leader and the organization recognizes the importance of a strategic plan to sustain the NPO and its programming, while working to fulfill their mission. The NPO BOD recognizes the importance of their Strategic Plan, acknowledges both internal and external circumstances, and is not afraid to take action based upon that knowledge. Leadership of this NPO is not risk averse as evidenced by their beginning a charter school. They modify their strategic plan frequently as needed.

Outside observers are very complementary in their assessments and support the Kouzes & Posner's observer's view of the leader (Appendix J). Observations from their points of view are that this NPO has a good-sized staff with excellent salaries. There were limited cuts due to the recession and a large aggregation of programs maintained to serve their clients. Due to the infusion of the charter school, there are some emotionally charged issues; however, the leader subject is strong, the NPO is growing, and is in excellent financial shape, especially during this economy. One rater stated: "(leader) runs a great place and has built a new facility, started a charter school, and is a quiet leader."

This researcher observes that while there has been some risk-taking, which is a forward-looking strategy by the leader, it is what a good NPO leader should do to strengthen the organization and their programs. Although the charter school

may be considered a risk, this leader has shown a great capacity to lead. This leader has found opportunities to collaborate with other organizations to more effectively serve the clients.

For organization #271, two out of the three selected observers completed the survey.



As demonstrated by the above chart, this leader is undervalued by self, although this leader has been in a position of leadership at this organization for over 20 years and has a mastery of what it takes to manage an NPO. According to the self-evaluation, this individual scores lower than the observers who rate this individual. The score for inspiring others and enabling others to do their jobs were the highest by self, model, and enable by others. During the interview, this leader stated that right now, burnout is a factor in the job. Taking this test, at this point in time, would certainly point out that modeling the way, challenging the

process and encouraging others would be lower on the scores by self. This leader chose three of the four top traits of a successful leader in the Kouzes & Posner, TLCW survey. The three in this category are: competent, inspiring, and forward-looking. The fourth choice is self-controlled, which is correlated to Cialdini's Principle of Social Proof. Due to the burnout factor, this leader feels the need to be in control, yet, not losing sight of the NPOs mission.

This leader appears to have a strong ability to utilize the Cialdini Principles of influence (Appendix B). Scoring 98% on the Principle of Reciprocity underscores this individual's attention to others and the opportunity to collaborate with other organizations. Looking outside to others, effectively, this leader is prepared to learn from others. The score of 94% on Social Proof suggests that she uses this Principle almost to capacity. A score of 55% on Liking suggests that the leader could use more experience in this area. However, when going back to the interview and the discussion on burnout, this leader is not feeling very "liking" right now. There are organizational issues that are challenging. Although in a position of authority, NPO leaders are subjected to the authority of their BODs, especially the BOD Chair. This BOD Chair has a good relationship with the leader; however, the charter school issue has stretched everyone's limits. A score of 48% would be understandable at this point in time. Consistency is a favorable asset and this leader scores in the 84th percentile. Commitment to the organization is evident in everything this individual does. Difficulty in obtaining things is sometimes a perceived scarcity. When individuals can move beyond this Principle as a fear, they can ethically use it to

obtain more of what they want and need. Scoring in the 58th percentile merely suggests more work to be done in learning how to use Scarcity as a powerful tool.

ORGANIZATION # 2 (272)

Mission Statement: An international non-profit organization dedicated to serving the poor and providing others with the opportunity to serve, assisting central and northern Arizona families since 1946. Programs include services for the homeless, medical and dental care for the working poor, charity dining rooms, thrift stores, a transitional housing shelter and general assistance for individuals in need.

Programs

- General Assistance – Food boxes, rent and utility assistance, and other basic items.
- Food and Meals Program – Food reclamation center collects and processes food items donated by local grocery stores and community food drives.
- Homeless Assistance and Prevention – Offers multiple services to the homeless, unemployed, and those in financial crisis. Services include showers, haircuts, clean clothes, job referrals, transportation, budgeting classes, rent & utility assistance, and other services to help individuals get back on their feet and prevent others from being homeless.
- Medical and Dental Clinic – Provides medical and dental care to working poor, uninsured adults and their children. Services include specialty medical care, education and prevention programs, and dental care.
- Transitional Shelter – A shelter for homeless adults, 50 or over, with mental or physical disabilities. 49 bed shelter provides case management and a supportive environment to help residents transition into permanent housing.
- Thrift Stores – 17 thrift stores provide affordable items for purchase. Direct assistance is provided at no cost to some families.

2010 Annual Report

Programs & Services	Number Served/\$ Value of Services
Conference Services	
Direct aid for food, shelter, utilities, healthcare, and others	\$8,802,000
Home Visits	53, 376
Prison, hospital, and nursing home visits	3,926
Food Boxes Distributed	374,301
Referrals to other agencies	24,832
Volunteer Hours	384,785

Dining Rooms/Kitchen	
Meals Distributed	1,117,688
Locations served	23
Volunteer Hours	120,069
Food Reclamation	
Total Pounds Processed	7,988,623
Homeless Assistance and Prevention	
Total Value of Direct Aid for All Programs	\$276,622
Total Volunteer Hours	20,992
Helping the Working Poor Program:	
Individuals and Families Served	67
Ministry to the Homeless:	
Persons Served	22,078
Ministry to the Incarcerated and Families:	
Individuals and Family Members Served	403
Transient Aid Center:	
Travelers Assisted	390
Medical and Dental Clinic	
Total Visits	15,044
Medical Visits	5,570
Adult Dental Visits	1,831
Child Dental Visits	4,752
Ancillary Visits	2,891
Market Value of Services	\$3,143,832
Volunteer Hours	15,927
Transitional Shelter	
Persons Sheltered	118
Nights Lodging	17,461
Case Management Hours	4,923
Volunteer Hours	18,780
Special Programs	
Adopt a Family:	
Adopt a Family, Family Members Served	2,096
One at a Time Scholarships:	
Students in Program	28
Value of Aid	\$70,500
Volunteer Hours	560
Medical Equipment Loans:	
Pieces of Equipment Loaned	410
Volunteer Hours	709

Thrift Stores	
Number of Stores	17
Market Value of Free Merchandise Distributed	\$175,574
Volunteer Hours	74,337

Financial Information

Revenue	2008	2009	2010
Community Donations, Council	\$3,486,483	\$4,012,368	\$4,458,740
Community Donations, Conference	2,543,473	5,165,658	4,617,000
Grants	1,212,745	1,773,862	1,957,701
Estates and Trusts	1,676,618	1,514,875	1,695,951
Sale of Donated Merchandise, Council	3,912,094	3,912,094	10,589,956
Sale of Donated Merchandise, Conference	999,319	1,421,105	2,440,000
In-Kind, Council	10,521,329	11,773,602	10,589,956
In-Kind, Conference	1,773,518	2,014,997	2,440,000
Investment and Other Income	1,933,100	1,124,997	1,475,140
TOTAL REVENUE	\$28,058,679	\$32,713,558	\$33,505,076
Expenses			
Council Program Services	\$22,128,313	\$22,128,313	\$22,476,563
Conference Program Services	5,478,152	8,626,566	8,802,000
Management & Administration	999,717	922,232	956,102
Fundraising	895,793	917,134	1,064,441
TOTAL EXPENSES	\$29,501,975	\$32,594,245	\$33,299,106

Compensation Information from 990

2008 Return of Organization Exempt from Income Tax (990)	
Executive Staff Salaries:	
Executive Director	\$80,808
Director of Finance	81,372
Dental Director	150,250
Total salaries, other compensation, employee benefits	\$4,647,243
2007 Return of Organization Exempt from Income Tax (990)	
Executive Staff Salaries:	
Executive Director	\$103,902
Director of Finance	89,292
Dental Director	166,048
Total salaries, other compensation, employee benefits	\$5,404,240
2006 Return of Organization Exempt from Income Tax (990)	
Executive Staff Salaries:	

Executive Director	\$106,639
Director of Finance	100,080
Dental Director	147,795
Total salaries, other compensation, employee benefits	\$5,072,796

Statement on Economy

The economy's slow recovery continues to impact many individuals and families. With work hours cut, positions eliminated and businesses closing, unemployment remains alarmingly high. New jobs are hard to find and many are unemployed for long periods, often losing their homes to foreclosure once their resources are exhausted.

With nowhere left to turn, more and more people are coming to our agency for help. We provide a comprehensive range of services to help them return to self-sufficiency while supporting them with a safety net of hope. Whether it is an emergency food box, treatment of a health problem, a low-cost source of clothing, or help with rent and utilities, we offer a hand to those in need, regardless of race, religion, origin or other distinctions. It is only through the help of those with generous hearts like yours that we can serve so many working poor and homeless people.

Thankfully, each year many thousands of individuals, groups, corporations and foundations donate their time and financial resources so we can provide a broad network of support stretching throughout central and northern Arizona. Thank you for your generosity and heartfelt prayers which allow us to serve those who most need our support. You help make our agency a special place where those who seek assistance and those who offer it are joined together through God's love.

Report Discussion

This organization is a very strong faith-based organization, even though the staff, BOD, volunteers, and donors do not focus on faith as a factor in serving clients. Each staff member, BOD member, and volunteer considers it a personal responsibility to enrich the lives of others by preventing homelessness. Although this NPO has many dining rooms and provides food to many other NPOs at no cost, its primary focus is on prevention. When thousands of volunteers in parishes across the valley make home visits, things happen. From utilities paid, to

food boxes and clothing, furniture and supplies, people's lives are changed. Although this organization has a big heart, it scrutinizes community needs carefully to maximize need fulfillment. Many things about this organization will not show up in an annual report or on a balance sheet. The organization benefits from thousands of volunteers and substantial and relevant amounts of in-kind gifts that allow this NPO to fulfill its mission. The medical/dental clinic serves the "working poor," individuals and families who make too much money to receive state assistance, but too little to afford healthcare. The dental clinic collaborates with dental and dental hygiene schools that provide trained, professional volunteers and with colleges and universities for programs and research. This organization has a diabetes program that serves as a nation-wide model. The services that are provided at this NPO's clinics are as the same quality as services provided in a private clinic.

This NPO's programs continuously evolve based upon the community's needs. During this economy, their client base has increased. They continue to maintain and grow their cornerstone program, home visits, ensuring their ties to their early mission. The Phoenix organization is a model for others across the country. This NPO is not reliant on government funding and their primary source of income is received from one large annual fundraising event, private grants, donations, and at one point, a significant number of bequests. This NPO has begun to focus on expanding its donor base and raising more money from private foundations and individual donors as a means to meet the increase in service demands.

Although this NPO is significantly larger than the others in the study, the leader's income does not surpass the other leaders. In fact, the leader has taken several pay cuts and decreased his income considerably. The salaries for an organization of this size are low; however, the staff is committed even though there is minimal staff for required tasks. This leader certainly qualifies for modeling the way (Kouzes & Posner, 2003). The nature of the NPO's BOD is its size and a continuous change in membership. This impacts the NPO's ability to rely on its BOD. The BOD is selected from parishes; therefore, the leader has no control over its membership. This leader subject operates differently than others in the nonprofit community, because the BOD has not been able to adopt a long-term Strategic Plan for the organization. While each program and the other operations in the organization have their own plan, there is no overall plan for the organization. It is difficult with this type of BOD movement to create significant personal relationships, unless the leader remains in the position for a long time. Fortunately, this leader has been with this NPO for more than 10 years.

This leader subject is widely respected within the organization and by the large board and staff, but much of this respect also comes from the high level of respect earned from his position in the community. Of interest, is that while most NPOs operate from the inside out through its leader, this organizational leader operates from the outside in. The level of positions the leader holds in community organizations and relationships with others in the community, gives the leader stature and enables those within the organization and on the BOD to listen, respect, and follow advice and leadership. While this approach to

leadership in an NPO is atypical, it has not made this individual's leadership less effective. This approach is even more apparent when one examines this leader's scores on the Influence IQ test. The scores are average, as the leader will tell you; however, the leader is not average, is a learning individual, but has no particular incentive to learn the concepts. For financial reasons, like all NPOs, the organization has reduced staff, salaries, and expenses. This NPO continues to grow its revenue base by focusing on endowments, bequests, and individual donors.

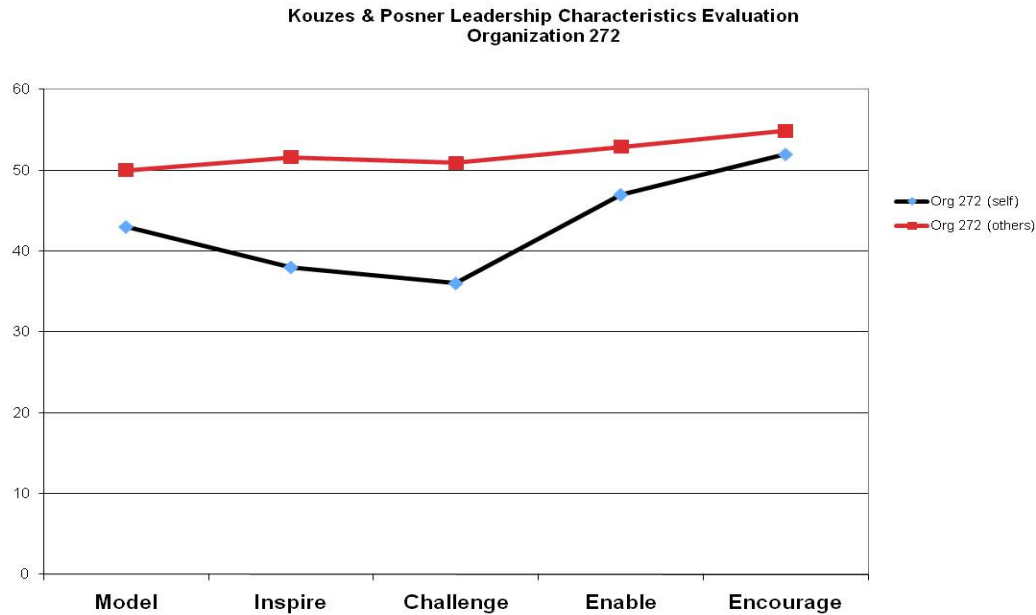
Financial Information

This NPO is difficult to rate utilizing its 990 because it almost looks like a holding company. The reason for this apparent difference from other NPOs is that much of the revenue lies outside the organization, in the parishes. Additionally, their volunteer base is so large and their in-kind services so extensive, especially with their food products, that the organization is relatively stable in spite of the economy.

Interestingly during the personal interview, this leader subject expressed that it is difficult to run an NPO in this economy and difficult with the continuous BOD changes. However, when asked if there would be situations in which this leader would leave, the response was "only if the organization wanted it." This leader came from the private sector as a successful businessman. Because the BOD is so large and the changes are numerous, the organization has not been able to settle on one, overall Strategic Plan. This organization has a ranking of 4 on the Likert Importance Scale, because it does not have a Strategic Plan, and under

the circumstance, its BOD will not act upon it. Each of the programs or units is almost a separate entity and they do recognize the importance of being alert to both internal and external circumstances. As exemplified by salary cuts and increase in the importance of establishing new revenue sources, they have adjusted to the environment and are ranked 5 and 6, respectively, on the internal and external environments. Outside observers are very complementary of the leader and organization in their assessments and support the Kouzes & Posner's observer's view of the leader. "This leader is a magician for delivering services with reduced funds. He has taken pay cuts, eliminated positions, cut 401-K matching for staff, and still delivers," says one of the outside raters (Appendix A, Appendix B, and Appendix I).

According to the Kouzes & Posner scores, this leader ranks self considerably lower than the observers. As mentioned before, this leader manages from outside in and is well-respected in the community as well as in the organization.



ORGANIZATION # 3 (273)

Mission Statement: To serve abused, abandoned, and troubled and neglected youth in our community.

Population Served

Male and female youth, ages 9 to 22 that are homeless, runaway, or still living at home but in crisis.

Youth enrolled in 2009/2010: 1,649

Percent that were runaway or homeless: 75%

Gender: female 38% male 62%

Race/ethnicity: African American 18%, *Caucasian 72%

Native American 4%, Asian/Pacific Islander 1%, Other 4%

* Of these numbers 31% are considered of Hispanic origin.

Geographic location: Maricopa County / Sub contract services in Pima and Yavapai counties.

Services

- Case Management
- Learning Center/School
- Counseling
- Drop-in Center
- Family Reunification
- Functional Family Therapy
- Independent Living Skills Training

- Job Development/Employment Assistance
- Outreach
- Prevention & Early Intervention
- Shelter & Transitional Living
- Skill Development

Programs

- An independent living and life skills development program designed to assist young men in reaching their fullest potential, housing boys ages 15 to 18/special circumstance up to 21
- Provides independent life skills training, acculturation counseling and case management, job development, tutoring and language development for boys, ages 13-18. These youth have come into the custody of the Office of Refugee Resettlement (ORR).
- Short and long term residence that provides crisis intervention, counseling, and skill development for up to 10 youth ages 12 to 18 and their families.
- Mobile outreach services to street dependent youth ages 12 to 25.
- Drop-In Center services and case management to street dependent youth ages 12 to 25.
- Apartment subsidy and independent living skill development for up to 18 homeless youth ages 18-25. Youth may be pregnant or parenting.
- Provides educational/vocational assistance and job development services to youth in Tumbleweed programs and in the community.
- Drop-In Center services and case management for street dependent youth ages 12 to 25 in the East Valley
- Transitional, independent living and skill development or up to 15 homeless youth ages 16-18 and 5 babies. Youth can be pregnant or parenting.
- A youth in crisis walks into a designated Safe Place location and tells the first available employee they need help. We pick up the youth and get them to a shelter.
- Apartment subsidy and independent living skill development, for homeless, Lesbian, Gay, Bisexual, Transgender and Questioning youth ages 18 - 25.
- Youth in partnership with staff run a business including marketing, inventory, customer service, cash flow, management, and goals and planning. Youth are employed through a screen printing t-shirt shop.

2010 Annual Report Information

OUTCOME MEASURES:

Aggregate Information:

Total Youth Served: 1,649

Female: 38%
Male: 62%

Ages:

0-6 yrs: 1%
7-13 yrs: 5%
14-17 yrs: 30%
18-30 yrs: 64%

Boys House:

Youth Served: 30
Completed program; 56%
Families participating in counseling: 63%

Casa:

Office of Refugee & Resettlement youth served: 281
Youth obtaining education: 100%
Youth reunited with families in USA: 141
Youth repatriated with family in home country: 67
Transferred to foster care or other programs: 15
Won legal relief while in custody: 6

TLC:

Total youth served: 403
Youth enrolled in M/C Regional School: 121
Esperanza youth in M/C Regional School: 168
Youth enrolled in WIA: 114
Total GED's and diplomas earned: 25
Youth completed vocational training: 30
Youth keeping employment over three months: 50%

Open Hands:

Youth served: 251
Youth exited to safe places: 95%
Crisis calls handled; 1,085

Phoenix DIC:

Meals served in center: 5,315
Unduplicated clients: 318
Visits to the Center: 3,134

SAFE PLACE:

Face to face classroom opportunities: 19,801
Safe Place pick-ups: 96

START:

Youth served: 50

Youth in work and school: 35

Youth transitioned to independence: 44%

TYRC:

Youth contacts on the street: 91

Meals served in center: 2,726

Youth housed by HPRP & HAY: 14

Unduplicated clients: 283

Visits to the Center: 2,825

YAP:

Youth served: 43

Youth graduating to greater independence: 64%

Youth attending school: 70%

Youth obtaining steady employment: 64%

Current Strategic Goals:

- Expanding Community Awareness and Agency Resources
- Increase Community Recognition
- Capital Campaign - Develop and implement a campaign to insure long term growth and stability of our client impacting programs
- Expand Development Resources - Continue to expand our base of donors and corporate partners. Allowing the agency to remain strong through economic ups and downs.
- Finding ways to grow the organization through revenue growth and cost effectiveness and program development

Committing to Service Excellence through Training and Outcomes Assessment:

- Promote and implement continued self-evaluation of Board and Organization.
- Encouraging “directions thinking” about the future of the organization with all staff and with significant youth input
- Reward Excelling Performance
- Commit to and implement Effective Training.
- Promoting the Youth Development model throughout the organization

Developing a Culture of Communication and Trust:

- Implement a Consistent Communication Plan

- Build a culture of Organizational Trust - Through participatory management processes that this organization is a “Learning Organization” engaged in continuous improvement

Financial Information

Revenue	2008	2009	2010
Grants and Contracts	\$4,950,300	\$4,707,299	\$4,696,690
United Way	91,460	70,225	174,720
Contributions	207,292	284,594	219,354
Entrepreneurial – Youth Run Businesses	0	0	15,798
Internal Services	109,687	0	161,287
In-Kind	423,502	563,353	582,620
Other Income	20,844	19,423	4,992
Gain/Loss Investments	2,657	200	2,557
Special Events	133,365	73,706	66,402
TOTAL REVENUE	\$5,939,107	\$5,718,800	\$5,924,420
Expenses			
Program Services	\$5,261,716	\$5,011,072	\$4,791,275
Management and General	493,062	574,784	252,711
Facilities	63,864	0	56,411
Fundraising	316,207	284,041	226,603
TOTAL EXPENSES	\$6,134,849	\$5,869,897	\$5,916,381

Compensation Information from 990

2008 Return of Organization Exempt from Income Tax (990)	
Executive Staff Salaries:	
Executive Director	\$90,002
Chief Financial Officer	63,030
Program Director	59,932
Total salaries, other compensation, employee benefits	\$2,824,084
2007 Return of Organization Exempt from Income Tax (990)	
Executive Staff Salaries:	
Executive Director	\$88,200
Clinical Director	58,868
Program Director	62,308
Development Director	53,772
Total salaries, other compensation, employee benefits	\$2,824,084
2006 Return of Organization Exempt from Income Tax (990)	
Executive Staff Salaries:	

Executive Director	\$87,300
Chief Financial Officer	64,702
Clinical Director	55,253
Program Director	54,152
Total salaries, other compensation, employee benefits	\$2,564,753

Statement on Economy

As our agency completes our 35th year of providing a safety net for the at-risk, runaway, and homeless youth in our community, we celebrate one of our most inspirational years amidst a host of challenges presented by a daunting financial climate.

Like everyone else in Arizona we have watched as the economy continued to spin into a state of emergency. We had made all the adjustments to programs that could be made and finally more serious measures were required. Benefits were reduced, positions were eliminated and we reduced an already thin management support structure to historical low levels of 6% of our operating budget for “general and administrative” and 4% for fundraising, down from 10% & 5% respectively the previous year.

The turnaround was dramatic, from a midyear projected potential loss of more than \$200,000 for the year ending June 30, 2010, to an actual small gain of \$8,030. Not only did the measures noted above help in this turnaround, but the community stepped forward in many ways. As an example, we were once again the recipient of grant from the United Way lead “Funding Collaborative” of grant givers who came together to fund organizations that address the most basic survival needs of people.

The funders shared their collective knowledge of the community to select organizations that could make a difference immediately and without any time-consuming application processes. Fundraising remained down only slightly, and was supported by many corporate grants such as Scottsdale Insurance’s parent company Nationwide Insurance Co providing a significant grant for the first time. Certainly many other gifts and grants were received from caregivers like you, to make this turnaround possible.

Through all these challenges our employees continued to serve 47% more than last year, and still assisted youth in accomplishing wonderful outcomes. If you visit with a former client, like the five (5) featured on the video during our Annual Dinner Auction this year, you quickly understand the value of our agency to the community. Youth will tell you they were on a path to self-destruction and became healthy productive members of the community as a result of their experiences. These five young people “re-discovered” our agency on our Facebook page, and asked what they could do to help. We are proud they were willing to share their stories. I continue to be inspired by the youth, staff,

volunteers and supporters as they demonstrate over and over that our community is one that cares for and supports young people in a way that allows them to soar to new heights of self-sufficiency and enhanced self-esteem.

Report Discussion

This NPO relies heavily on government grants for nearly all of its funding. Due to the recession, the leader has had to significantly reduce expenses by moving many people to part-time status, coupled with reductions in their 401k payments. The NPO is currently operating “on a shoe string,” financially, and has stretched out its accounts payable payments. This is not the first time this NPO has struggled financially, and fortunately, its leader is a seasoned professional in keeping the organization operating and serving its clients. In cases like this, previous experience brings great competency to the position and confidence to the BOD and government funding sources. This leader subject knows that while government funding will come back to some extent, the leader must become more active in building a strong private support fundraising program with an increased donor base. This type of forward-looking behavior will eventually prove fruitful. When necessary, this seasoned veteran knows how to use their Strategic Plan to make the right reductions to keep the organization operating.

Financial Information

In 2009, 88% of this NPO’s revenue was generated from program services and government grants. When compared to program expenses (almost 85%), they are running a bit ahead and recording a surplus. This is a very positive point, suggesting that they understand their costing models and match their revenue with expenses. In 2007 and 2008, they had similar results, showing a small surplus or a

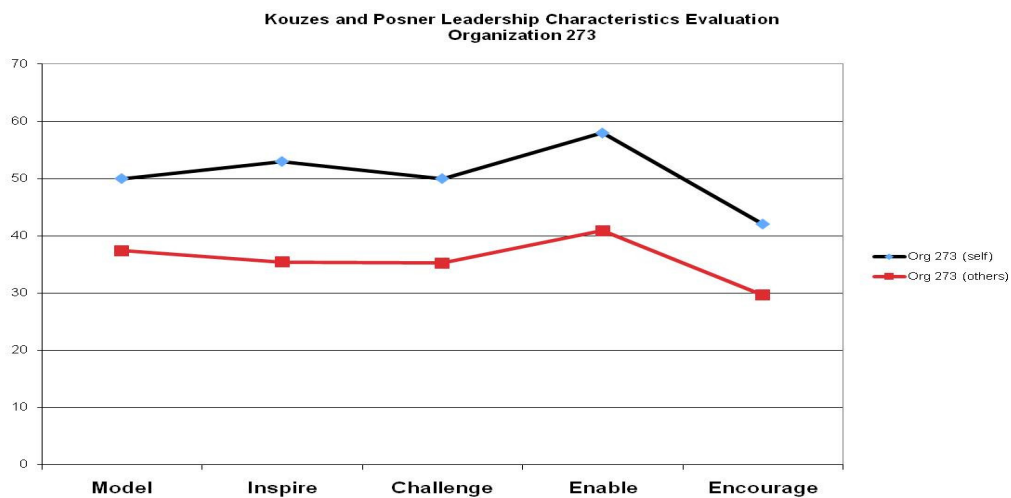
break even in 2007. This NPO took on significant debt in 2008 (only had \$110,000 in notes payable at 2007), which seemed to have led them to financial challenges. They have no cash reserves to speak of and it appears they survive "paycheck to paycheck" to fund operations (cash reserve is significantly less than one month for 2008 and 2009, but was only just over 1 month in 2007). This NPO lost most of its government grants in 2009, which probably contributed to the deficit for the year. In 2009, revenue fell by over 3%, but this NPO cut expenses back to report a fall in expenses of over 5%. They have generated a deficit for the last 2 years, following the huge debt they took on. When compared to 2007, when there was little debt, they reported a surplus. It looks like this NPO has program revenue consistency issues from government funding sources. They did increase the number of BOD members from 2008 to 2009 significantly, which suggests an attempt to right the operations. The leader took a pay decrease in this time period, suggesting a pay reduction for high level employees,

This leader admits to having a struggling organization and is entertaining the possibility of a merger. They have a Strategic Plan; however, it is outdated and should be redone. The leader does not utilize the Strategic Plan as a working document with the BOD, but reviews it by reviewing the daily operations and "manages" by walking around. This NPO was ranked a 5 as having a Strategic Plan and 5 for utilizing the plan in some fashion. However, it ranked 4 or neutral in adjusting to internal circumstances, because it took the NPO quite a period of time to adjust to the economic downturn. The leader is entrepreneurial and opened a for-profit business to increase revenue. Closing down some buildings

and moving into space with another organization was another cost cutting strategy implemented. Unfortunately, once the strategy was implemented, one of the NPO's funding sources refused to fund them at the new location and the NPO is now in the process of moving back into some of their own buildings. At this point in time, the Strategic Plan is not of highest priority, as the organization scrambles for monetary resources. Unfortunately, this would be the time to have a solid plan in place to focus the organization on its mission (Appendix A and Appendix I).

Outside observers are very complementary of the organization in their assessments and support the Kouzes & Posner's observers' view of the leader (Appendix J).

According to the Kouzes & Posner (2003) scores, this leader ranks self higher than observers as an average. However, this leader purposely added observers who were not necessarily going to be complementary.



When reviewing the Cialdini Influence IQ Test results, it is easy to see the successes of the organization's leader. The leader has effectively used reciprocity, liking, and scarcity in building very strong relationships with government agencies and their people. This leader has used the Principles to the highest level to ensure fund continuation to provide the resources required to serve clients. It will be interesting to see if over the next few years, the same people will be in the position to assist the leader and the organization. Even though some of the funding will return over the next few years, it may be many years before a comparable level of funding will be available. If new people are in place, the relationship building process may have to start anew.

This leader is generally consistent with those involved in the organization. The use or need for Social Proof and Authority are less relevant to the already existing strong relationships; however, the need for new funding sources may prove the necessity of utilizing the Principles in new ways. The lack of revenue growth over time does begin to negatively impact programming quality and limits evolution and growth opportunities. Merging might be this organizations best option. One of the outside raters observes that this leader is able to weave a variety of funding sources to pay for beds in transitional housing and now has started a new business.

ORGANIZATION # 4 (274)

Mission Statement: To provide homeless families and individuals with safe shelter, housing and supportive services to assist them in reaching their greatest potential.

Programs

- Shelters - Providing families with shelter and support with the Emergency Shelter Program and the Transitional Housing Program.
- Next Step Housing - Providing follow-up programs for families now in permanent housing, continuing support and a permanent affordable housing program.
- Domestic Violence Shelter - Providing emergency shelter and support for women seeking alternatives to dangerous relationships and living situations.
- Emergency Shelter - Providing emergency shelter for single women and families.
- Parents Anonymous - Providing assistance to families as an accredited organization of Parents Anonymous.
- Wellness Center - Providing full service wellness care and health education.
- Child Development Center - Providing aid in basic development for children from 6-weeks old to 5th grade.

2009 (Most Current Available) Annual Report Information

Emergency Shelter Program: This is the entry point for families who need help and is available for up to 120 days – usually a time of crisis intervention and stabilization.

During the past 12 months, the Emergency Shelter Program:

- Served 268 families; a total of 1,012 individuals - of these 620 were children
- Provided a total number of 70,178 bed nights
- Families stayed an average of 96 days in this program

Transitional Housing Program: Here, some families are provided with the option of longer-term housing for up to 24 months. In order to qualify for the program, families must demonstrate that they followed through on achieving their goals while in the Emergency Shelter Program. They are also required to maintain at least 30 days of full-time, continuous employment or be enrolled in and attend school or a training program.

During the past 12 months, this program:

- Served 84 families; a total of 303 individuals – of these 189 were children
- Provided a total number of 52,802 bed nights
- Families stayed an average of 315 days in this program
- During the FY 2009, 91% of the families in the Follow-Up program maintained stable housing

Emergency Shelter: This unique, year-round program is designed specifically to serve up to 120 homeless single women, as well as 20 families every night. As a result of this critical program, we are able to provide the most vulnerable with a warm, safe place to sleep and a healthy meal.

The City of Phoenix assists with case management and other supportive services. Our agency continues to manage and operate this program which receives additional support, both volunteer and financial, from many faith-based and community organizations.

During the past 12 months, this program:

- Served 805 single women and 1,422 family members
- Provided 38,965 bed nights for single women, and
- Provided a total of 22,873 bed nights for families
- Single women stayed an average of 40 days, while families stayed an average of 13 days

Domestic Violence Shelter: This is a 56 bed facility for women and children who are victims of domestic violence. It operates year round at an undisclosed location for the safety of the clients.

During the past 12 months, this program:

- Served more than 475 adults and children; nearly 80% were mothers with small children under the age of 12
- Provided 4,815 bed nights for women and 11,922 bed nights for children
- These families stayed an average of more than 40 days

Lamplighter Place: Located off campus, this facility provides a home to seven seriously mentally ill individuals as well as seven non-serious mentally ill single individuals.

During the past 12 months, this program:

- Served 22 people
- Provided 5,757 bed nights

Next Step Housing: In order to help families improve their lives, assistance was available to locate permanent housing. This year, a merger of two organizations became a crucial part of our “Next Step Housing” division. Currently, the program is comprised of four multi-family (apartment) properties.

- The four communities total 206 apartment units and are located in north central Phoenix and south and southwest Phoenix.
- One community is a property for seniors and disabled persons.
- Six hundred twenty eight individuals were provided with housing through this program.

Financial Information

Revenue	2007	2008	2009
Government & Agency Grants		\$4,297,371	\$4,037,926
Donations & Events		2,149,007	2,242,442
In-Kind Contributions		248,312	269,178
Program Fees/Other		243,945	575,782
TOTAL REVENUE		\$6,938,635	\$7,125,328
Expenses			
Program Expenses		\$5,478,752	\$5,406,180
Management and General		624,437	622,867
Marketing & Fundraising		323,352	269,072
Cost of Events		152,960	171,704
TOTAL EXPENSES		\$6,579,501	\$6,469,823

Compensation Information from 990

2008 Return of Organization Exempt from Income Tax (990)	
Executive Staff Salaries:	
Executive Director	\$108,004
Chief Operating Officer	83,945
Total salaries, other compensation, employee benefits	\$4,423,966
2007 Return of Organization Exempt from Income Tax (990)	
Executive Staff Salaries:	
Executive Director	\$117,723
Chief Operating Officer	85,974
Shelter Services Director	63,843
Director of Operations	65,271
Chief Fund Developer	66,517
Human Resources Manager	62,652
IT Manager	60,529
Total salaries, other compensation, employee benefits	\$4,423,966
2006 Return of Organization Exempt from Income Tax (990)	
Executive Staff Salaries:	
Executive Director	\$106,248
Chief Operating Officer	90,680
Chief Fund Developer	81,146
Controller	81,439
Total salaries, other compensation, employee benefits	\$3,762,088

Statement on Economy

If there was ever a year when our name conveyed what it means to be our organization, this is the year!

While our written vision is to be a leader in breaking the cycle of homelessness, whenever anyone in Phoenix passes our new facility, there's a visible reminder that it is friends and supporters like yourself who, for over 40 years, have given thousands of homeless families the opportunity for a new day – and a new life.

No day, more aptly portrays what a “new day” means than Saturday October 10, 2009, the day we called our “Extreme Move Over.” With the vital assistance of over 450 volunteers, we were able to move 112 families, along with all their belongings, across the street from our old facility to our new campus. The day ended with tired feet which were quickly forgotten as everyone watched the smiles on the faces of our residents as they walked into their beautiful new “homes.”

Expanding our facilities is just one of our tremendous accomplishments during the past year. Our programs also needed to expand because of the sky-rocketing increase in homeless families in our community. Right now, our waiting list has doubled and at the same time, more families are arriving with little or no income. This makes the need to find shelter even more critical.

With an unemployment rate in our community of nearly 10% among the general population, this figure translates into 40% unemployment among the homeless population.

Tragically, the financial crisis has given rise to an entirely new segment of homeless families. These are individuals who have owned their own home; used their savings to desperately try and save their home; and then without warning, lost their jobs. These hard-working individuals come to us as a last resort with no knowledge, whatsoever, in navigating the “homeless system.” Add to this the fact that the job market is so tough right now, families are staying longer in both emergency and transitional shelters, which lengthens the wait for all our facilities.

In order to accommodate the changing needs of our community, we have revised our criteria for our transitional population, so more clients can attend training and educational classes which will assist them in obtaining employment.

With the merger in September 2009, we expanded our capacity to provide affordable Next Step Housing for families once they leave our shelter. This merger, coupled with a new partnership between our agency and the NRP Group LLC, (a national leader in the development, construction and management of

affordable housing) has resulted in The Legacy Crossing. Our site, the first phase of this 80-unit, affordable housing complex is becoming a reality, and will be completed by December 2010. This project is funded through tax credits awarded in 2008 and City of Phoenix grants.

With our new seven acre campus and shelter, which at full capacity will be home to 156 families and employ more than 80 staff members, along with the expansion of our programs for case management, crisis counseling, Parents Anonymous, and Next Step Housing, we are able to make certain that lives are touched and transformed. As Arizona's largest homeless shelter, we acknowledge the compassionate support shown during these tough economic times by community leaders, businesses, faith-based groups, foundations, and individuals who, like yourself, have made it possible for us to help break the cycle of homelessness in our community. Your giving is truly part of a "new day" for thousands in our community.

Report Discussion

The compiled report shows only a portion of this successful leader and organization. This leader has been making payroll for NPOs every two weeks for over 30 years. As someone who moved up the NPO ranks, this leader learned much of the business acumen on-the-job and from observation of other leaders. One of the outside observers says that this leader is "incredible." The leader raised funds, found a new opportunity for housing with motels across the street, leveraged federal funds to build low-cost housing, adopted another organization, merged with another organization while adding four new apartment complexes, and runs a child-care facility for the families that reside in the transitional housing.

This is a very strong and focused individual with a tremendous amount of experience. The leader is strategic in making decisions, believing that if you do not grow your organization, including both the programs and the revenue, other NPOs will move ahead. This leader is forward-looking and inspiring to staff and

BOD. Even in the most difficult times, this leader has substantially expanded facilities, programs and much-needed revenue.

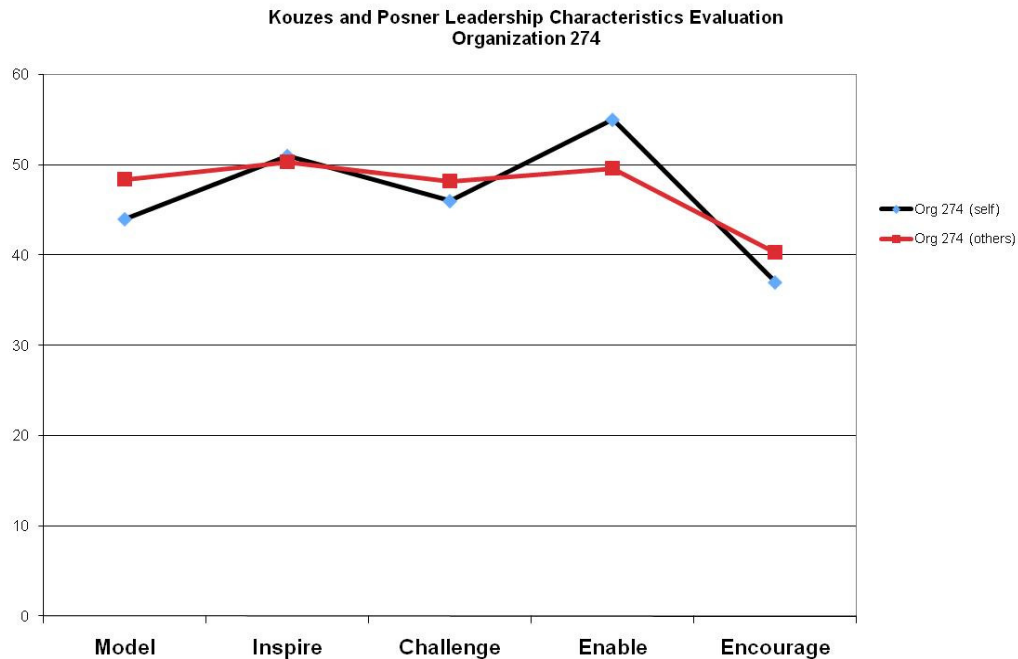
Balanced support with 50% government and 50% private funding allows this organization to weather economic downturns. Although, having begun a multi-million dollar fundraising campaign a few years ago for apartment buildings and having to still raise another \$4M, the leader is a little concerned. The organization does have reserves and some endowments. Financially, the organization is in good shape and can operate over a 6 month period without additional funding. While there are government grants and contracts used as funding sources, the organization does an exceptional job raising private funding in the community.

This leader happily reports that there is a great management team in place in the organization. It took this leader about eight years to arrive at this level of confidence in the team. The team works well together in an atmosphere of mutual trust and confidence. One of the top management observers stated that he has worked with this leader for over nine wonderful years. As with most NPOs, all of the top management took salary cuts during the economic crisis. This leader has created good relationships with the BOD, coupled with a strong and influential advisory board that assists in raising private funds. This leader has a comprehensive Strategic Plan utilized extensively by the BOD and staff. Ratings for this organization on having a Strategic Plan and utilizing the plan are 7s, the highest possible ranking. Their plan provides strategic direction for the organization and gives them focus to maintain mission fulfillment. Again, outside

observers are very complementary of the organization in their assessments and support the Kouzes & Posner's observer's view of the leader (2003). This leader ranked self in the closest proximity to the observer's rankings (Appendix J).

Financial Information

Program revenue and government grants are substantially less than reported program expenses, suggesting that the cost to run their programs is significantly more than the government funding. This NPO relies on fundraising to supplement programs. However, they are highly profitable each year, reporting millions in surplus annually. They show a huge increase in number of employees in 2009, however salary expenses from 2008 to 2009 are flat, suggesting that the number of employees reported on the Form 990 might be incorrect. They consistently have significant revenue over expenses each year, from \$2.5M to \$7.1M. Although they have financed some of their operations with debt, they appear to have a clear plan to service the debt, as demonstrated in the results. This NPO's cash reserves have also been steadily increasing (Appendix A, Appendix B, and Appendix I).



Kouzes & Posner

The top four admired characteristics as identified by Kouzes & Posner (2003) are: honest, forward-looking, inspiring, and competent. This research study's first objective is to see if leader subjects possess the four top traits. Each leader subject proved in a variety of ways that they do possess the top 4 traits. Each leader subject was very forthright in personal interview discussions, all have remained with their respective NPO for over 5 years, and with the exception of one NPO, all are financially stable. Constituent observers rated two of the leaders higher than the leaders ranked themselves. One NPO was the most consistent in its rankings and that leader prizes consistency. According to the test results, all of the organizations rated consistency among their favorite Principles. The remaining organization's leader was ranked lower than the leader's ranking for

self. The leader explained that it was a purposeful choosing of observers, including some individuals the leader expected would not highly rank the leader. This showed an honest appraisal of certain individuals associated with the agency.

Three of the leaders chose competent (#271, 272 and 273) as a valuable trait while two of them also chose inspiring (#271 and 272), and these are the two leaders who ranked themselves lower than their constituent observers. Leaders 272 and 273 chose honesty as a trait and demonstrate different demeanors from one another. One is very self-effacing and the other is more direct. The three organizations that have a Strategic Plan listed forward-looking as an admirable trait. Each of the leaders chose one other characteristic that is in the top 20 identified traits. Overall, the leaders both chose and displayed three out of the four top traits of an exemplary leader as identified by Kouzes & Posner (2003).

The five practices of an exemplary leader as identified by Kouzes & Posner are listed below with other phrases that can be ascribed to each practice (2003).

1. Model the way: Find your voice, clarify your values, express yourself, set an example, align actions with values
2. Inspire a shared vision: being forward-looking, having a vision, envisioning the future, enlisting others
3. Challenge the process: search for opportunities, seize the initiative, make it meaningful, be creative and innovative, look for fresh ideas, experiment, take risks, make mistakes
4. Enable others to act: foster collaboration, improve performance,

create a climate of trust, build goals and cooperate, strengthen others, ensure self-leadership, provide choice, foster accountability

5. Encourage the heart: recognize contributions, focus on clear standards, expect the best, pay attention, personalize recognition, show appreciation for individual excellence, celebrate values and victories, tell a story, create a spirit of community.

In examining each leader subject scores on the five practices that successful leaders use, and as evidenced by data from all the sources, each of the leaders scored higher on different areas. There are interesting comparisons to Cialdini's Six Principles (2009).

Leader 271 is highest in reciprocity and lowest in enable. This leader also chose self-control as one of the traits and is experiencing burnout. It seems difficult for this leader to let go and allow others to do some of the heavy lifting. Give and take seems to be utilized out in the community rather than in the organization. This leader is consistent with leadership goals and has the skills to engage the community, inspiring them to support the organization. A for-profit thrift store runs on its own, according to this leader.

The leader of organization 272 is second in authority and highest in model and encouraging the heart. This leader is described as humble, even while enjoying tremendous prestige in the community. Modeling the way and enabling others to act is very descriptive of this leader. This type of authority is atypical, but in this case, highly effective.

Leader 273 is highest (1 of 2) in reciprocity, liking, and scarcity and 3 or 4 in the five practices. This leader builds beneficial and effective relationships outside the organization to obtain funding. It appears that in some of practices, this leader could use some direction. For example, this leader has a Strategic Plan but does not use it as a working document. This behavior provides a model for the rest of the organization. This organization is also the one that is struggling financially.

Leader 274 ranked highest in authority, challenge the process, enable others to act, and inspire. This leader moves forward with the organization's mission and follows a Strategic Plan. This leader scored low in reciprocity which may indicate that the leader does not feel compelled or has learned to refuse to participate in unnecessary reciprocity.

Correlations

The use of a simple correlation in analyzing the Principles of Influence with other criteria appears to provide little insight, other than with Kouzes and Posner's five identified practices. With a small sample it is difficult to predict the relationship and what it means. However, the Principles examined with other information gathered, the specific use of the Principle offers insight into the nature of the leaders and their ratings in successfully carrying out the NPO's mission. These Principles provide added enrichment to understanding the type of leadership role and the style of each leader subject (Appendix B).

Summary

Rankings: NPOs were ranked in order of overall stability and mission fulfillment by professional raters and this researcher used the triangulation method to determine a final rank order result. Although each leader subject is successful in multiple ways, there are disparities that became apparent through data analysis. Taken from an overall strategic plan score, the NPOs are ranked in order of highest to lowest. The strategic plan total individual scores mirror the rank order as defined for overall success and as rated by triangulation of data including: Kouzes & Posner's Characteristics of an Admired Leader, Cialdini's Six Principles of Influence, Kouzes & Posner's Five Practices, financial data from 990 tax forms, annual reports, financial data from years 2005 and 2010, program and organization mission alignment as scored by the outside professional raters, personal interviews regarding the development process and use of a strategic plan in scanning both the internal and external environments, as well as, the implementation of a strategic plan. This researcher's observations as a participant observer in a variety of settings that included the leader subjects were utilized in formulating and formalizing overall organizational ratings and rankings.

As an underlying premise, the mission is the cause for all decisions made by each leader subject. For all the leaders, commitment to the mission and organization is never questioned. Every decision assumes the importance of mission fulfillment. In no instance was mission drift detected, even during this time of economic challenge. Each leader dealt with his or her financial situation creatively and according to the NPOs mission. Additionally, program staff, BOD,

and external environment challenges were addressed innovatively in each leader's own style, based upon considerable leadership experience in the NPO field.

Each leader subject is committed to staying with and continuing to lead the NPOs they serve until asked to leave. This unbelievable commitment takes on significant importance in everything the leaders do to lead their NPOs to mission fulfillment. This commitment aligns with Cialdini's Principle of consistency, which is one principle that each leader held in high regard. Commitment and consistency have formed an alliance to guide the leader subjects to successful mission fulfillment. Strategic plans play an important role alongside commitment and consistency. The leaders who honor the process of strategic planning and who utilize their respective plans as a tool to guide them are the highest ranking in overall organizational success. This relationship is undergirded by literature findings (Cayer, Baker, Weschler, 2010; Schlacter, 2010). The two professional raters strengthened leadership rankings with their responses to program and organizational alignment with mission ratings. Although each of the professional raters spoke favorably about each leader, they assessed the strengths and weaknesses based upon their professional NPO experience, not on personal bias or preference.

Each leader's commitment is demonstrated by their traits as shown in their selection of Most Admired Leadership Characteristics. Three of the four leaders identified competent, forward-looking, and inspiring as traits they would look for in a leader; all traits that were clearly shown in data analysis of each leader subject. Two of the leaders appeared to assume honest as an underlying

characteristic and chose other traits such as self-controlled, cooperative, and intelligent. These two leaders are individuals not afraid to speak their minds and are very forthright in nature.

Leader Practices as identified by Kouzes & Posner (2003) were attributable to the overall rankings of the NPO leaders by self and observers. Again, honest, an intangible characteristic became tangible through actions and practices. Leader #273 candidly expressed that one or two chosen observers were individuals who might not give favorable ratings to the leader. Honesty, with no fear of reprisal, is a valued characteristic by many. Leader #272's chosen observers identified this leader as behaving the way every successful leader should behave in a leadership role. The most difficult area for all the leaders seems to be encouraging the heart. Many successful leaders are self-directed by nature and they may assume that all other individuals involved with the organization are also self-directed and do not require encouragement. This is not the case as evidenced by observer responses to Kouzes & Posner's 360 LPI in the area of encourage the heart. In spite of responses by chosen observers, each leader continues on his or her designated path to mission fulfillment.

Three of the four organizations have considerable assets. The fourth is struggling but is considering a merger. Organization #274 is the highest ranking, not only because of its financial status, but also because of the ratio between funding sources, private versus government, its high level BOD, the leader's business acumen, the use of a strategic plan, examining the environment for internal and external opportunities and threats (Schlacter 2010; Cayer, Baker &

Weschler, 2010) at least two traits and three of the leaders choosing three of the top traits as identified by Kouzes & Posner (2003), adept at using at least four of the Six Cialdini Principles (2009), and fulfilling the organization's mission even during challenging economic times.

Second in ranking is organization #271. This NPO has weathered recent financial storms because it ventured out into a new entrepreneurial endeavor, a charter school. A very well thought out strategic plan is used by this leader and the organization. Even the board is involved in the planning and examining both the internal and external environments. Although the new endeavor did put the organization at some risk, they recovered and also received a \$1M trust. If they had to continue operating with no other financial resources, the leader projected they could survive for almost two years. This leader is experienced and also identified three out of the four top traits that exemplary leaders possess, but in individual rankings of the Kouzes & Posner practices, this leader ranked higher from the observers than the leaders own scoring. The mission of this organization is staying the same, but objectives and strategies are expanding.

The third ranked organization and leader is organization #272. This NPO is surrounded by revenue generating parishes and has a large contract with at least two food retailers. The leader subject is well-known and respected in the community. The leader possesses three of the top traits as identified by Kouzes & Posner (2003). Although this leader does not apparently use the Cialdini Principles as effectively as some of the other leaders, this leader may not analyze the use of these tools and may use them naturally. This leader practices the 5

leadership characteristics more than the individual realizes as evidenced by the scores from the observers. Scanning the horizon for internal and external challenges is not this leader's forte. However, the staff is comfortable taking on that role. This leader considers the staff as the most efficient and effective with whom this individual has ever worked. Even without an overall Strategic Plan, the organization continues to move forward toward mission fulfillment. This NPO's programs are efficient and wide-spread.

The final organization #273 is struggling for financial resources after having been significantly dependent on government funding. The leader chose the characteristics of competent, honest, and forward-looking as the three choices among the top four traits. This leader's fourth choice is fair-minded. This leader is using Tools of Influence effectively with government agencies for funding and collaboratively with universities and other agencies. The leader is positioning the NPO to merge with a Southern Arizona organization (Appendix K). Using and updating the Strategic Plan the organization already has would be helpful to the leader in guiding the organization. The process, itself, provides the means for working together to accomplish the organization's goals. This leader has been with the organization for six years. At the five year mark, this leader confided that the leader finally felt ownership in the organization. Fear of making wrong decisions may hold a leader back from creating new opportunities. Currently, this leader is forging ahead with renewed energy, working collaboratively with staff, BOD, other agencies and the community to implement new plans replete with opportunity.

Chapter 5

SUMMARY AND CONCLUSIONS

A multi-case research study is a complex undertaking. Multiple NPOs, leaders, and data sets made it challenging to triangulate and interpret the data. However, data analysis and findings presented in this dissertation are valid. From experience in the field, this researcher can say that the findings validate the perception of each NPO in the community and the perceptions of the leaders by their constituents is fairly accurate, some more than others, but there were specified reasons for the discrepancies.

Each leader excels in different categories, although there are crossovers. One leader does not rank high in the Cialdini Principles of Influence (2009) yet leads a successful organization and has high standing in the community. The same leader allows others to act, spreading authority throughout the organization rather just position authority. The rankings of exemplary leaders are as much situational as points in time. Each leader subject was willing to take time for the research and in so doing learned along the way. Leaders who utilize a Strategic Plan appear to perform better financially and in mission fulfillment. Three of the NPOs have not only survived in this economy but they are thriving by NPO standards. The fourth leader is moving toward a merger, which is very forward-looking and inspiring.

This study is only a small portion of NPO leadership; however, it contributes to the practice of organizational leadership in public administration and nonprofit leadership and management. The study has implications for other

research in social science because there are other topics to explore about leaders. For example, this study did not delve into boards of directors, donors, or volunteers and those relationships. By utilizing the Kouzes & Posner 360 LPI, constituent observers had the opportunity to participate and rate their leaders. Overall, this study can assist the participating leaders and their organizations in learning more about Principles of Influence, the use and importance of Strategic Plans, especially in scanning the internal and external environments, the development of leadership traits through study, and to model the way for others who aspire to a leadership role (Appendix L).

On the basis of this multi-case study, leaders performing at the highest level of achievement utilize a formalized strategic plan as a guide to mission fulfillment. Tools that have been identified from the Cialdini Influence IQ test can be enhanced or acquired with education and practice. To bring constituent and public involvement with the NPO to higher levels of commitment, each leader subject would benefit from learning and understanding why and how the principles work and by applying them ethically and religiously in their daily ministrations of mission fulfillment. Self-knowledge and use of the traits they have, inborn or acquired, are valuable contributors to successful leadership behaviors and practices and ultimately lead to leader and organizational success.

Contributions to Scholarship and Leadership

Some leadership research and publications are only theoretical and not written from a practitioner's perspective. To further advance education in academic fields devoted to preparing students for administrative careers, it is

important to provide practical, real-life experiences, stories, data, and comparisons from which organizational leaders can learn. Posing solutions for problems within a field is best done by someone who has experience in leadership and all of its constraints and fulfillments. For example, Public Administration, including Nonprofit Leadership and Management, are disciplines designed to foster connections between research and practice. In the third addition of *Public Administration: Social Change and Adaptive Management*, (Cayer, Baker, & Weschler, 2010) the original authors, scholars Cayer and Weschler, added a third author, Baker, a practitioner with extensive management experience. With the addition of a practitioner author to a book for students who study and prepare for administrative leadership, this book provides enriched practical advice. Adding a practitioner was important because Baker understands the nuances and complexities in a way that those who have not practiced leadership cannot completely know -- experience counts. Individuals who study in the disciplines of Marketing, Social Psychology, Organizational Theory and Behavior, Management, and multiple other fields that address leadership can learn from this type of study. Practitioner conducted multi-case study research of NPO leaders organizations provides an enhancement to already existing literature.

Multi-case study research has been maligned in the past. Yin (2003a, 2003b) provides guidelines for conducting quality multi-case study research in a several variations, depending upon the type of research questions. This methodology, in real-life settings, provides a richness of information that a quantitative experiment does not fully capture. Utilizing multiple methodologies

and data sources, that include both quantitative and qualitative data; this study captured some of the essence of NPO leadership. Participant observation is an expansive source for data collection, which when triangulated with other data, makes the numbers and accounts of leader's experiences more meaningful.

Contribution to NPOs

Although this study is comprised of only successful appearing NPO leaders, a fifth leader and organization were used as a pilot study. This leader compares very favorably to the other top leaders in organizational stability and effectiveness. Through the use of a variety of methods of analysis, including program and organizational evaluation by outside professional raters, selection of three of the top four Admired Leadership Characteristics by the leader, and effective use of a strategic plan as identified in a personal interview, financial data from the organization's 990s and annual report, this leader proves very efficient and effective.

From the Kouzes & Posner 360 LPI, this leader's individual scores as compared to the observer scores are very consistent with the individual scores ranking in close proximity. This leader identified three of the four top traits, forward-looking, inspiring, and competent with the fourth choice. In the utilization of Cialdini's Principles, this leader scored highest on liking, suggesting that this leader is in the top percentile of those using this Principle. Four of the other Principles were in the average range and reciprocity ranked lowest of this leader's usage of the Principles. Knowing this leader, as a strong, forward-looking individual, who has lead this organization for over 10 years, is an advantage when

comparing the data with the other leader data. Favorable comparisons of this leader and this organization to the four leaders in this study provide additional strength to the use of multi-case study research and its variety of data-capturing methods. Although multi-case study research does not demand that multiple cases are randomly selected, the study could be enriched with several more organizations, either picked at random or NPOs that are not perceived as successful. Additionally, NPOs in other cities and states would provide comparisons from which all NPOs can learn and benefit.

This study suggests that NPO leaders have great endurance, admirable characteristics, and follow through with the practices of leadership as identified by Kouzes & Posner. That does not mean they can neglect training and education because their constituents look to them to model the way. Perception of who the leaders are may, at times, be significantly different from how the leaders perceive themselves. Knowing their constituents and developing stronger relationships with them is a key factor in aligning perceptions. Leaders' mastery of Cialdini's Principles can be heightened in some areas and continued in others. The use of a Strategic Plan suggests more organizational success and stability. This vehicle helps the NPO focus on mission fulfillment and when used consistently, it provides an opportunity for staff and BOD involvement.

NPO leaders, especially in challenging economies, seldom have the time or resources to educate themselves or their staff. Education and training must become a priority as most NPO leaders do rise to the top from within organizations. They have special qualities that bring them to the organizations

and a desire to make a difference in the world. However, their education and experience do not always provide them with sufficient tools for success. NPO leadership is difficult. Reporting to the BOD Chair and by extension, the board members, planning for the future while scrambling for resources today, submitting to community scrutiny and the opinion that NPO leaders are not as good as for-profit leaders, assembling volunteers, raising money from donors, and leading the staff, leaves little time for education. Fortunately, some of the private funding foundations have recognized the need to assist NPO leaders and have provided assistance in the form of sabbaticals.

It is increasingly important for leaders to meet with one another to discuss and assess their internal and external environments. There are increasing opportunities to serve the public and together, they can provide distinctive services. One of the most important things to learn is that not one size fits all. Each organization can discover its niche as these leaders have done. Collaboration conserves time and resources when this population is growing. Idea exchange is what forward-looking leaders do. Reciprocal arrangements foster goodwill and conserve scant resources. These leaders remain with their organizations because they have heart for the mission. Each leader professed that he or she loves working for the organization and has no desire to leave. They have bonded with the organization and intend to provide leadership, serving their constituents and clients and guests, until they are asked to leave.

Limitations and Further Research Possibilities

NPOs are complex. This study addressed a few, but significant, pieces of the puzzle. However, there are many more pieces to study to complete the entire puzzle. Considerable more time with the organizations and expansion of resources provides more information relevant to NPOs. Some items to consider for further research are tangible, others are not. For example, governance by special IRS rules can prove cumbersome when a leader and the organization desire creative solutions. Careful study of these IRS rules can provide guidelines for an organization when it wants to pursue forward-looking plans. Having a relationship with someone who possesses this expertise would relieve a leader of the fear of overstepping boundaries.

The same relationship-building applies to legal issues. Many of NPO legal issues surround human resources situations. Leaders who have reliable legal counsel on issues dramatically impact the organization. BODs play a significant role in the organization's success; therefore, BOD members must be carefully selected. One of Cialdini's Principles is extremely useful in BOD recruitment. BOD members often want friends to serve with them on the BOD and recruit them without accurate and complete knowledge of what expertise the board actually needs. By designing job descriptions for BOD members, the selection process becomes strategic. Not everyone can expect to automatically become a BOD member. They must have the right credentials for that board at that particular point in time. Timing is critical because BODs, leaders, staff, and organizations change continuously. Training for boards is limited and untrained

board members often do not utilize their business acumen to help further the success of the NPO they are assisting. As a result, recent NPOs and BOD frailties are making newspaper headlines. This can be avoided when board members clearly understand their roles and apply their knowledge.

Volunteers and donors play an important role in NPOs. People who volunteer in an organization typically do it from the heart. They can become the best advocates and donors for the organization. It is important not only to cultivate new volunteers and donors but also to steward the ones that are already committed to the organization. Fundraising and the volunteer and BOD's roles in fundraising efforts have been neglected in many NPOs even though development/fundraising processes are instrumental to organizational success. BODs and leaders who do not recognize this critical component struggle, especially during a difficult economy and, consequently, forfeit opportunities for stability and growth. A positive balance between people responsible for fundraising and between types of funding sources is another area that could benefit from additional research. Perception is another issue. NPOs are sometimes considered "second rate" to for-profits. This is one handicap in attracting some of the more experienced professionals with both the heart and business acumen as leaders. Low salaries, long hours, and secondary stress contribute to burnout and turnover. Considerable study about how to bring NPO perception, both internally and externally, to a higher level is a preeminent requisite for future study. Application of perception improving research could provide valuable assistance to NPOs. To retain quality staff, education of NPO

leaders, staff, volunteers, BODs, and donors on how and why their service is valuable to themselves, the clients they serve, and to the community is a requirement to make individuals feel valued and positive about their work. NPOs are a vital link between the government and the public and research about how to establish stronger linkages between and among these organizations is of paramount importance for the future of our great country and its citizens.

Investing time in analyzing personal strengths and weaknesses, increasing self-knowledge, and educating oneself about various tools and methods and formulas for success is worth time and effort. This multi-case study provides insight into formulas for success as identified beyond the results of the financial bottom line. Strategic plan utilization (Cayer, Baker, & Weschler 2010; & Schlacter 2010), Cialdini's Principles of Influence (2009), Kouzes & Posner's Most Admired Characteristics of a Leader, and the 360 LPI are tools that each leader can possess and utilize to become more successful. Each leader's commitment and consistency in mission fulfillment is unquestioned; however, commitment to self-education and self-growth is the ultimate in leading an NPO to success and mission fulfillment.

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APPENDIX A

STRATEGIC PLANNING MODEL THREE, 2011 ADAPTATION

FOR NONPROFIT ORGANIZATIONS

- A. A Definition of "Strategic Planning"
- B. Three Key Planning Questions
- C. Situation Analysis: External
- D. Situation Analysis: Internal
- E. Market Opportunity Analysis
- F. Mission and Objectives
- G. Strategies and Tactics

Strategic Planning: Bringing Organizational Resources to Bear on Marketplace Opportunities Within the Constraints Imposed by the External Environment.

Three Key Planning Questions:

- 1) Where are we now?
- 2) Where do we want to go?
- 3) How do we want to get there?

WHERE ARE WE NOW?

Situation Analysis

A. External Environment

1. Political/Legal
 - a. What is happening?
 - b. What does it mean for me?
2. Economic
 - a. What is happening?
 - b. What does it mean for me?
3. Sociocultural
 - a. What is happening?
 - b. What does it mean for me?
4. Industry/Competitive
 - a. What is happening in my industry?
 - b. What does it mean for me?
 - c. Who are my key competitors?
 - d. What are their strategies and present situation?
 - e. What does it mean for me?
5. Technology
 - a. What is happening?
 - b. What does it mean for me?

I. Situation Analysis

B. Internal Environment

1. History/Mission (Who Am I?)
2. Financial Condition
 - a. What looks good?
 - b. What needs to be improved?
3. Management/Organization Structure
 - a. Are we organized well with good management in place and a plan for succession?
 - b. What needs to be improved?
4. Personnel

- a. Do we have enough of the right people in the right places?
 - b. What needs to be improved?
- 5. Technical
 - a. Are we up to date technically? (e.g., computers, data gathering and storing, e-mail, fax, etc.)
 - b. What needs to be improved?
- 6. Marketing and Sales
 - a. Do we consistently deliver value to our customers (the right product, accompanied by the right service, delivered to the right people at the right place and time, and at the right price)?
 - b. What needs to be improved?

II. Market Opportunity Analysis

A. Existing Clients, Donors, Volunteers, Staff

- 1. In what industries are we presently active?
- 2. How much of these markets do we control?
- 3. Who are our key accounts in these markets?
- 4. What is happening in these markets and with these accounts that we need to know about?
- 5. What is the “potential” of these targets?

B. Potential Clients, Donors, Volunteers, Staff

- 1. What new industries might offer opportunities?
- 2. Who are some of the key players in these markets?
- 3. What do we know about each of them?
- 4. What else do we need to know?
- 5. What is the potential of these targets?

WHERE DO WE WANT TO GO?

III. Mission Statement and Objectives

- A. Mission Statement: What kinds of services do we want to provide and to whom?
- B. Objectives: What key standards need to be met in order to successfully exploit our market targets?
 - 1. Financial
 - 2. Management and Organization
 - 3. People
 - 4. Marketing and Sales

HOW DO WE WANT TO GET THERE?

- IV. Strategies and Tactics: What do we need to do to accomplish our objectives? (What activities need to occur, who will be responsible for these activities, and over what period of time will they be completed?)
 - A. Financial
 - B. Management and Organization
 - C. People
 - D. Marketing and Sales
 - 1. Product
 - 2. Promotion
 - 3. Place
 - 4. Price
 - 5. People
 - 6. Process
 - 7. Physical Environment

A COMPLETE MODEL OF THE STRATEGIC PROCESS

A Strategic Planning Model

I. Situation Analysis

- A. External Environment
 - 1. Political/Legal
 - 2. Economic
 - 3. Sociocultural
 - 4. Industry/Competitive
 - 5. Technology
 - 6. Suppliers
- B. Internal Environment
 - 1. History/Mission
 - 2. Financial Condition
 - 3. Management/Organization Structure
 - 4. Personnel
 - 5. Technical
 - 6. Marketing and Sales

II. Market Opportunity Analysis

- A. Existing Clients, Donors, Volunteers, Staff, BOD members
- B. Potential Clients, Donors, Volunteers, Staff, BOD members
- C. Who Will We Choose to Target Among Our Existing and Potential Market Targets?

III. Mission Statement and Objectives

- A. Mission Statement
- B. Objectives
 - 1. Financial
 - 2. Management and Organization
 - 3. People
 - 4. Marketing and Sales

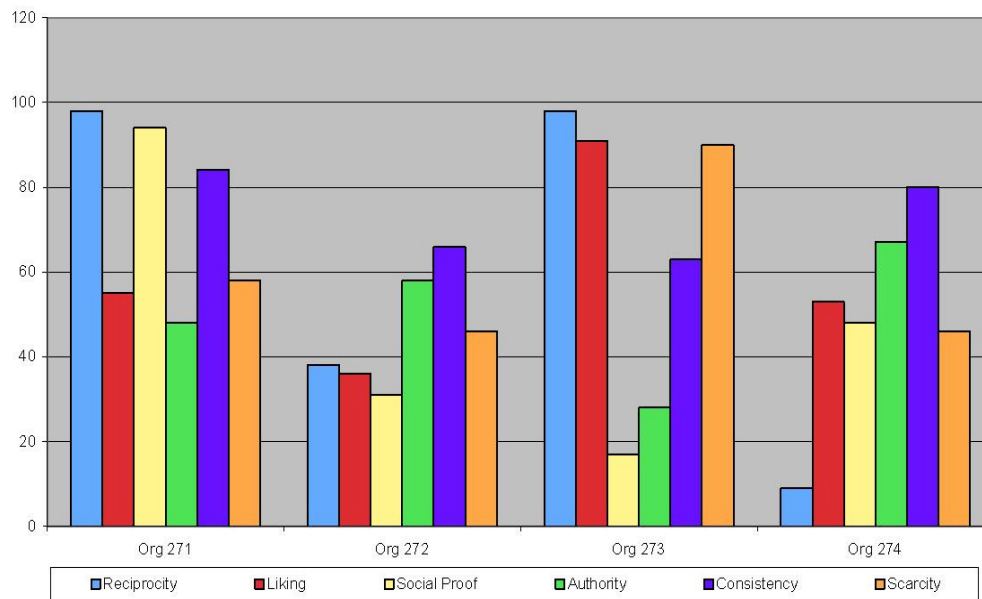
IV. Strategies and Tactics

- A. Financial
- B. Management and Organization
- C. People
- D. Marketing and Sales

APPENDIX B

CIALDINI PRINCIPLES OF INFLUENCE BY ORGANIZATION

Cialdini Principles of Influence by Organization



Cialdini Principles of Influence Scores

Organization	Reciprocity	Liking	Social Proof	Authority	Consistency	Scarcity	Total Influence IQ
271	98	55	94	48	84	58	437
272	38	36	31	58	66	46	275
273	98	91	17	28	63	90	387
274	9	53	48	67	80	46	303

APPENDIX C

CHARACTERISTICS OF AN ADMIRED LEADER SURVEY (TLCW)

TLCW

Characteristics of an Admired Leader

We look for special qualities in our leaders. Our research indicates that the attributes listed below account for most of the qualities we admire. From this list of 20 attributes, please select the 4 that you most look for and admire in a leader, that is, someone whose direction you would willingly follow.

Your Name:			
<input type="checkbox"/>	Ambitious (aspiring, hard-working, striving)	<input type="checkbox"/>	Honest (truthful, has integrity, trustworthy, has character)
<input type="checkbox"/>	Broad-minded (open-minded, flexible, receptive, tolerant)	<input type="checkbox"/>	Imaginative (creative, innovative, curious)
<input type="checkbox"/>	Caring (appreciative, compassionate, concerned, loving, nurturing)	<input type="checkbox"/>	Independent (self-reliant, self-sufficient, self-confident)
<input type="checkbox"/>	Competent (capable, proficient, effective, efficient, professional)	<input type="checkbox"/>	Inspiring (uplifting, enthusiastic, energetic, humorous, cheerful, positive about the future)
<input type="checkbox"/>	Cooperative (collaborative, team player, responsive)	<input type="checkbox"/>	Intelligent (bright, thoughtful, intellectual, reflective, logical)
<input type="checkbox"/>	Courageous (bold, daring, fearless, gutsy)	<input type="checkbox"/>	Loyal (faithful, dutiful, unswerving in allegiance, devoted)
<input type="checkbox"/>	Dependable (reliable, conscientious, responsible)	<input type="checkbox"/>	Mature (experienced, wise, has depth)
<input type="checkbox"/>	Determined (dedicated, resolute, persistent, purposeful)	<input type="checkbox"/>	Self-controlled (restrained, self-disciplined)
<input type="checkbox"/>	Fair-Minded (just, unprejudiced, objective, forgiving, willing to pardon others)	<input type="checkbox"/>	Straightforward (direct, candid, forthright)
<input type="checkbox"/>	Forward-Looking (visionary, foresighted, concerned about the future, sense of direction)	<input type="checkbox"/>	Supportive (helpful, offers assistance, comforting)

APPENDIX D

RESEARCH PROTOCOL

Research Protocol

1. Do they utilize a strategic plan?
 - a) Where do you see your organization currently in this strategic plan?
 - b) Where do you see your organization moving forward within this strategic plan?
 - c) How do you plan on accomplishing these future goals? What are the milestones or goals you have set for yourself along the way?

Objective 1: Strategic Plan

Question 1:

What does having a strategic plan mean to you and your organization?
Does your organization utilize a strategic plan?

Following up Option 1

If they have clear/articulated strategic plan

1. Was your strategic plan derived from your overall Mission Statement?

Following up Option 2

If unsure or no

*Probe further...

- Are you actively working on this?
- What do you want the mission of your organization to be?

* Note – if the individual is not confident that the organization has a clear understanding of their strategic plan then next set of questions should be made a more vague about current and future steps of the organization.

Objective 1: Strategic Plan - Question 1

1. How is your organization currently engaged in this strategic plan? Are you on track?

External Factors

- Are there any external factors in your environment that are currently influencing your operations/ability to accomplish your strategic plan?

- If they don't mention all 6 of the various external influences a simple prompt of "Is anything in the _____ environment influencing your current operations?"

- Political/ Legal
- Economic
- Sociocultural
- Industry/Competition
- Donors/Volunteers
- Technology
 - As up to date as for profits?
 - Do you use social media?

* If any of these topics seems to dominate the others then probe deeper in that specific area... understand why.

Objective 1: Strategic Plan - Question 1

Internal Factors

- Are there any internal factors regarding your organization that are currently influencing your operations/ ability to accomplish your strategic plan?



- If they don't mention all 6 of the various internal influences a simple prompt of "Is anything in your _____ influencing your current operations?"
 - History/Past
 - Financial Condition
 - Organization Structure
 - Technology
 - Marketing/Sales
 - Personnel- how much time do you spend interacting with
 - your personnel?
 - BOD, volunteers, donors, clients, staff

* If any of these topics seems to dominate the others then probe deeper in that specific area... understand why.

Management Role

Follow-Up Questions from Question 1

Management

- How much time are you spending on management?
- How much time are you spending on Fundraising?
- Is your staff better than before?
- Do you have more people reporting to you?
- Are your BOD members playing a somewhat different role today than in the past?
- Did your BOD Chair and BOD play a role in Strategic Planning?
- Are your BOD Chair and BOD members supportive of your plans and you?
- What keeps you in this organization?
- What would drive you away?

Objective 1: Strategic Plan - Question 1

Current Opportunities

- Are there any current opportunities that exist for your organization?
- Are there any current threats that exist for your organization?



- If they don't mention any a simple prompt of "Do you see any potential in your _____?"
 - Donors/Prospects
 - Volunteers
 - BOD Members
 - Potential Customers/Clients
 - Market Expansion
 - Geographic Expansion
 - New Missions/ Opportunities
 - Branding of the Organization
 - Profit Making Endeavors

* If any of these topics seems to dominate the others then probe deeper in that specific area... understand why.

Objective 1: Strategic Plan - Question 2

2. Where do you see your organization moving forward within this strategic plan?



- How do you think your mission or direction may change in the future?

- What are your future objectives in relation to
 - Financial
 - Fundraising/donors
 - Management/Organization
 - Board of directors/outside management
 - People
 - Customers/Clients
 - Donors
 - employees
 - Marketing/Sales
 - Organization's Brand
 - Business Opportunities

* If any of these topics seems to dominate the others then probe deeper in that specific area... understand why.

Objective 1: Strategic Plan - Question 2

Follow-Up Questions from Question 2

- How do you rank your programs (1-7)?
- What is your cornerstone program?
- Is the staff better today than before?
- How do you spend most of your time?
- What has been your most difficult hurdle?
 - Has it grown or diminished in size or scope?
- If you could change anything in your organization today, what would you change as you move forward?
- Where would you place yourself as a leader (1-7)?
- How would you evaluate your leadership moving forward? (Criteria)

Objective 1: Strategic Plan - Question 3

3. How do you plan on accomplishing these future goals?
What are the milestones or goals you have set for yourself along the way?



- What do you need to accomplish these goals?
- What activities need to occur?

- Financial
- Management/Organization
- People- i.e. donors, volunteers, staff, BOD members
- Marketing/Sales
- Your business opportunities and branding the organization

* If any of these topics seems to dominate the others then probe deeper in that specific area... understand why.

Possible Follow-Up/Alternative Questions

How do you measure success?

- Do you go beyond the traditional measures of finances, marketing, strategic planning, marketing, information systems and organizational development?
 - Do you examine:
 - Capacity
 - Activity
 - Impact
 - Why or why not?
 - Are you measuring accurately these elements of success?

Development & Fundraising

What is your current development/fundraising plan?



Has this plan been successful so far?

What are your major sources of funding (%)? If no mention, prompt them with the following:

- Major Gifts
- Planned Giving
- Annual Gifts
- Events
- Government Grants
- Private Foundations
- Individual Foundations
- Community Foundations



- How reliant are you on these sources? What if one diminished? Could you adapt?
- Has the source of your funding changed in the last 5 years?
- Do you see your sources of funding changing moving forward?
- Over the past 3-5 years what is your donor retention rate? How many donors have you lost? How many have you acquired?

APPENDIX E

KOUZES & POSNER CHARACTERISTICS OF AN ADMIRER LEADER

BY ORGANIZATION

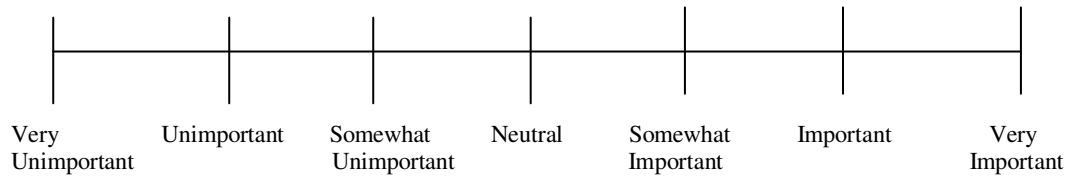
Kouzes and Posner Characteristics of an Admired Leader

	Compe- tent	Inspiring	Honest	Forward- Looking	Self- Controlled	Deter- mined	Fair Minded	Cooper- ative	Intelligent
Org 271									
Org 272									
Org 273									
Org 274									

APPENDIX F

LIKERT SCALE

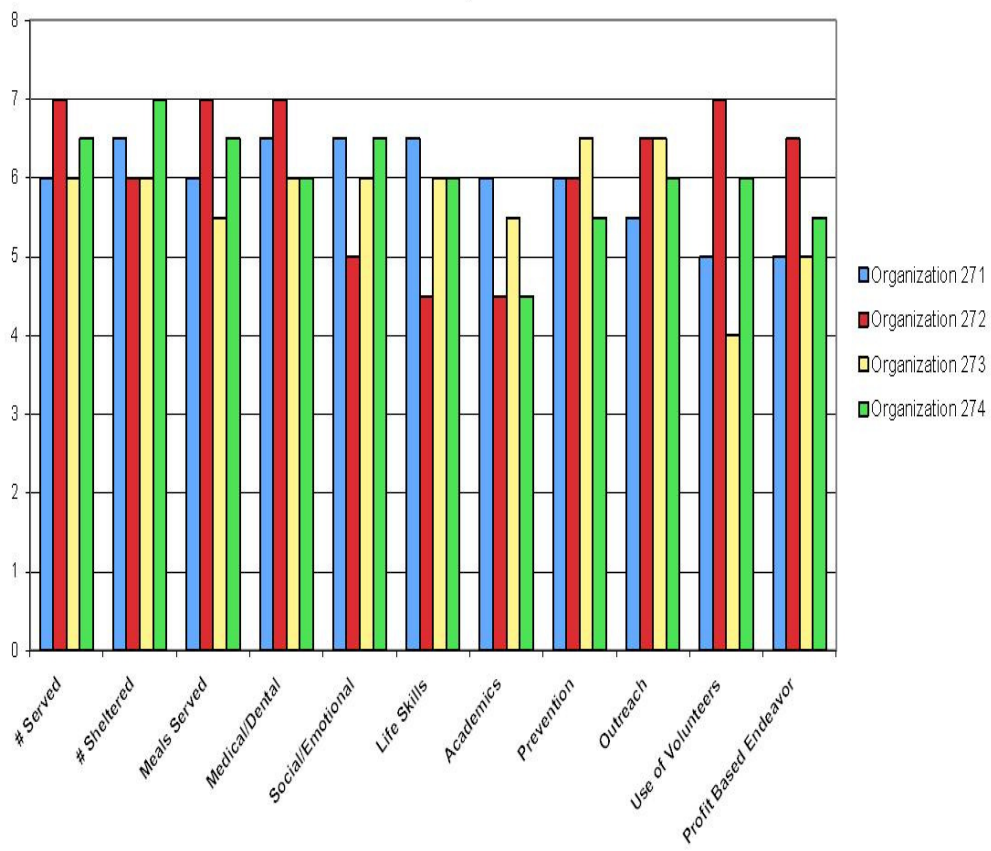
LIKERT SCALE
(Very Unimportant to Very Important)



APPENDIX G

SERVICES PROGRAM ALIGNMENT WITH MISSION AS
PERCEIVED BY OUTSIDE PROFESSIONALS

Program Alignment with Mission
As Perceived by Outside Professionals



APPENDIX H
CIALDINI CORRELATIONS

Interpretation

- significant $p < .05$
- marginally significant $p < .10$

- **Positive Pearson Correlation**= a increase in one item is connected to an increase in the other item
- **Negative Pearson Correlation**= a increase in one item is connected to a decrease of the other item

1. Life Skills marginally correlated to Influence IQ- positive

		Life Skills	Total Influence IQ
Life Skills	Pearson	1	.806
	Correlation		
	Sig. (1-tailed)		.097
	N	4	4

2. Encourage- Evaluation by Others is marginally correlated to individuals served

		Encourage Others	Individuals Served
Encourage Others	Pearson	1	.812
	Correlation		
	Sig. (1-tailed)		.094
	N	4	4

3. Academics is correlated to reciprocity and total influence IQ

		Academics	Reciprocity	Total Influence IQ
Academics	Pearson	1	.928*	.988**
	Correlation			
	Sig. (1-tailed)		.036	.006
	N	4	4	4

* Correlation is significant at the 0.05 level (1-tailed).

** Correlation is significant at the 0.01 level (1-tailed).

4. Individuals served is negatively correlated to Total Influence IQ

		Individuals Served	Total Influence IQ
Individuals Served	Pearson Correlation	1	-.924*
	Sig. (1-tailed)		.038
	N	4	4

5. Sheltered Individuals served is moderately correlated to consistency.

		Sheltered Individuals Served	Consistency
Sheltered Individuals Served	Pearson Correlation	1	.819
	Sig. (1-tailed)		.090
	N	4	4

6. Social/emotional is negatively correlated to encourage

		Social/Emotional	Encourage
Social/Emotional	Pearson Correlation	1	-.998**
	Sig. (1-tailed)		.001
	N	4	4

Correlations

Rows in Each Category:

Row 1 = Pearson Correlation

Row 2 = Sig. (1-Tailed)

Row 3 = N

	Liking	Reciprocity	Social Proof	Consistency	Authority	Scarcity	Total Influence IQ	Model	Inspire	Challenge	Enable	Encourage	Total
Liking	1 .197 4	.606 .331 4	-.338 .331 4	-.342 .329 4	-.845 .077 4	.953* .024 4	.548 .226 4	.657 .172 4	.813 .093 4	.862 .069 4	.761 .119 4	-.387 .307 4	.803 .099 4
Reciprocity	.606 .197 4	1 .395 4	.211 .395 4	-.120 .440 4	-.873 .064 4	.750 .125 4	.875 .062 4	-.020 .490 4	.249 .376 4	.135 .432 4	-.052 .474 4	-.128 .436 4	.060 .470 4
Social Proof	-.338 .331 4	.211 .395 4	1 .395 4	.903* .048 4	.270 .365 4	-.375 .312 4	.550 .225 4	-.920* .040 4	-.049 .476 4	-.440 .280 4	-.636 .182 4	-.514 .243 4	-.755 .122 4
Consistency	-.342 .329 4	-.120 .440 4	.903* .048 4	1 .248 4	.504 .248 4	-.501 .250 4	.338 .331 4	-.787 .107 4	.149 .425 4	-.221 .389 4	-.380 .310 4	-.705 .148 4	-.576 .212 4
Authority	-.845 .077 4	-.873 .064 4	.270 .365 4	.504 .248 4	1 .248 4	-.964* .018 4	-.636 .182 4	-.469 .265 4	-.408 .296 4	-.469 .265 4	-.365 .317 4	.008 .496 4	-.509 .245 4
Scarcity	.953* .024 4	.750 .125 4	-.375 .312 4	-.501 .250 4	-.964* .018 4	1 .216 4	.567 .216 4	.627 .187 4	.603 .199 4	.687 .157 4	.596 .202 4	-.145 .427 4	.704 .148 4
Total Influence IQ	.548 .226 4	.875 .062 4	.550 .225 4	.338 .331 4	-.636 .182 4	.567 .216 4	1 .370 4	-.260 .370 4	.475 .263 4	.206 .397 4	-.049 .476 4	-.562 .219 4	-.052 .474 4

Notice that most of the significant effects on the left are Cialdini correlated to other Cialdini, only a few to the right are significant relationships between Cialdini and Posner.

APPENDIX I

STRATEGIC PLAN INTERVIEW RANKING

Strategic Plan (SP) Interview Rankings

Scoring Explanation:

- The interview rankings were derived from a 1-7 point Likert Scale.
- If an organization possessed a Strategic Plan (SP), they are eligible to receive a (7).
- If they use their SP, they are eligible to receive a (7).
- If they recognize the importance of internal circumstances and act upon it, they are eligible to receive a (7). For example, some CEOs took pay cuts.
- If they recognize external threats and act upon them, they were eligible to receive a (7).
- If they have a SP and modify it with methods to increase revenue, and increase revenue, they are eligible to receive a (7).
- If they think that a SP is necessary to keep the organization focused on its mission, they are eligible to receive a (7).

Questions:	Org. 1 Rank	Org. 2 Rank	Org. 3 Rank	Org. 4 Rank
Do they have a SP; is it important to have one?	7	4	5	7
Do they utilize the SP; is it important to do so?	6	4	5	7
Is it important to adjust to internal circumstances to achieve your mission?	7	5	4	7
Is it important to recognize the external threats that can impact your SP?	7	6	6	7
How important is it to adjust their SP to increase revenue?	7	4	4	7
Is it important to go through the SP process in order to help your organization sustain the quality of its programs?	6	4	4	7
Is it important for the organization to have a SP to keep focused on its mission?	7	5	4	7

APPENDIX J

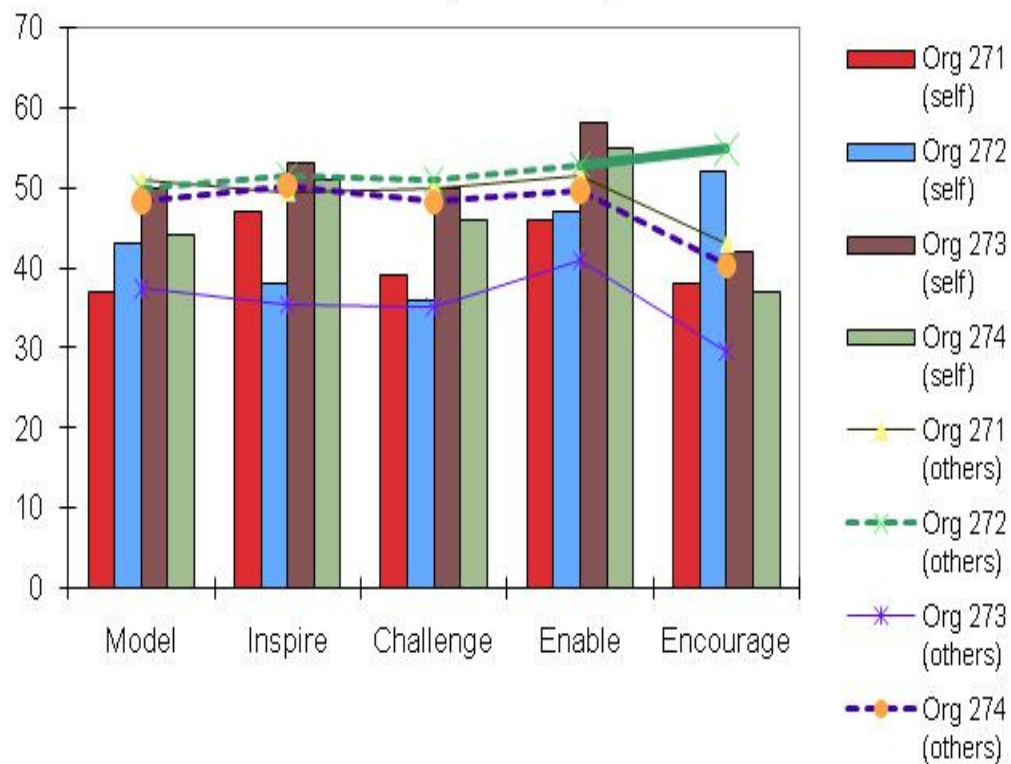
KOUZES AND POSNER LEADERSHIP CHARACTERISTICS EVALUATION

BY SELF VS. OTHERS

Kouzes and Posner Leadership Characteristics - Evaluation by Others

Organization	Model	Inspire	Challenge	Enable	Encourage	Total
271	51	49.5	50	51.5	43	245
272	50	51.6	50.9	52.9	54.9	260.3
273	37.4	35.4	35.2	40.9	29.6	178.5
274	48.4	50.3	48.2	49.6	40.3	236.8

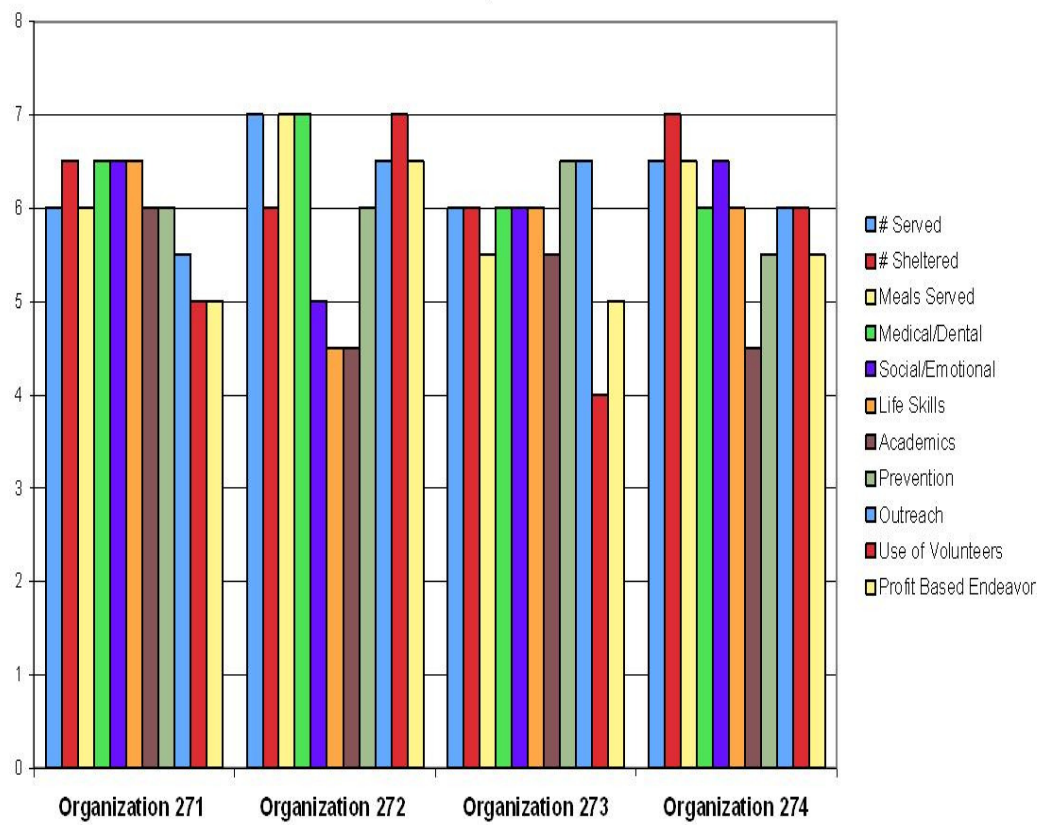
Kouzes & Posner Leadership Characteristics Evaluation by Self vs by Others



APPENDIX K

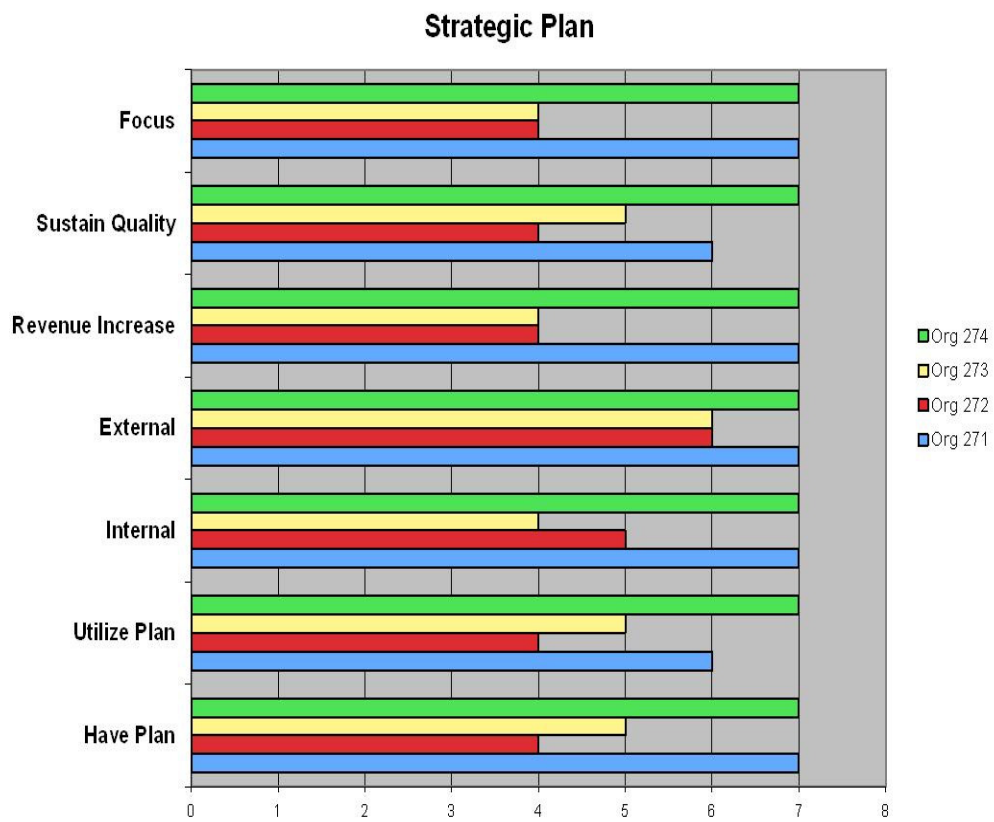
ORGANIZATION PROGRAM ALIGNMENT WITH MISSION AS
PERCEIVED BY OUTSIDE PROFESSIONALS

Organization Program Alignment with Mission
As Perceived by Outside Professionals



APPENDIX L

STRATEGIC PLAN RESULTS BY ORGANIZATION



APPENDIX M
IRB EXEMPTION

To: N Cayer
UCENT

for From: Mark Roosa, Chair *SM*
Soc Beh IRB

Date: 02/17/2011

Committee Action: Exemption Granted

IRB Action Date: 02/17/2011

IRB Protocol #: 1102006054

Study Title: A Case Study of Four Nonprofit Leaders Who Serve "At Risk" and Homeless Populations and Their Underlying Formulas for Success

The above-referenced protocol is considered exempt after review by the Institutional Review Board pursuant to Federal regulations, 45 CFR Part 46.101(b)(2).

This part of the federal regulations requires that the information be recorded by investigators in such a manner that subjects cannot be identified, directly or through identifiers linked to the subjects. It is necessary that the information obtained not be such that if disclosed outside the research, it could reasonably place the subjects at risk of criminal or civil liability, or be damaging to the subjects' financial standing, employability, or reputation.

You should retain a copy of this letter for your records.